

Annual Members Meeting 2023

Wednesday 13 September 2023
15:30-17:30

Location:
Lecture Theatre
2nd Floor
Sid Watkins Building



ANNUAL MEMBERS MEETING

AGENDA

Wednesday 13 September 2023
Lecture Theatre, Sid Watkins Building & Virtual

Ref	Time	Item	Owner	Purpose	
1	15:30	Welcome and Introductions	Chair	n/a	
CLINICAL PRESENTATION					
2	15:40	RANA - Rapid Access to Neurology Assessment	Anita Krishnan & Jen Duffy	Information	
ANNUAL REPORT & ACCOUNTS					
3	15:55	Annual Report 2022/23 (<i>print x 6 copies</i>)	Chief Executive	Assurance	
4	16:05	Trust Strategy 2022-2025 (<i>published copies</i>)	Chief Operating Officer	Information	
5	16:20	Annual Accounts 2022/23	Chief Finance Officer	Assurance	
6	16:25	Grant Thornton External Auditors	Hebe Dyson	Assurance	
8	16:30	Lead Governor Report	Lead Governor	Information	
7	16:35	Trust Constitution (<i>print 5 clean copies</i>)	Chair	Ratification	
CLINICAL PRESENTATION					
9	16:40	Pain Management	PMP Team: John Tetlow Kerry Mathews	Information	
10	17:05	Opportunity for Questions from Attendees			
11	17:25	Any other business and Close of meeting	Chair	n/a	

Please email wcf.membership-DL@nhs.net with any comments or questions you may have at least 2

days before the scheduled meeting.

UNCONFIRMED

**MINUTES
ANNUAL MEMBERS' MEETING
Thursday 8th September 2022**

Present:

Name	Role	Initials
Max Steinberg CBE	Chair	Chair
Su Rai	Non-Executive Director	NED
David Topliffe	Non-Executive Director	NED
Paul May	Non-Executive Director	NED
Karen Bentley	Non-Executive Director	NED
Jan Ross	Chief Executive	CEO
Andrew Nicolson	Medical Director	MD
Lisa Salter	Chief Nurse	CN
Mike Burns	Chief Financial Officer	CFO
Barbara Strong	Lead Governor /Public Governor Merseyside	LGov
Jonathan Desmond	Public Governor Merseyside	Gov
Carol Hopwood	Public Governor Merseyside	Gov
Belinda Shaw	Public Governor Merseyside	Gov
Ian Linfood	Public Governor Cheshire	Gov
Tom Stretch	Public Governor Cheshire	Gov
John Kitchen	Public Governor North Wales	Gov
John Taylor	Public Governor North Wales	Gov
John McClelland	Public Governor Rest of England	Gov
Melanie Worthington	Partnership Governor Cheshire & M'side Neuro Alliance	Gov
Jan Vaughan	Partnership Governor M'side & Cheshire Clin Network	Gov
Nanette Mellor	Partnership Governor The Brain Charity	Gov
Amanda Chesterton	Staff Governor Clinical	Gov
Andrew Brodbelt	Staff Governor Medical	Gov
Elaine Vaile	Head of Communication	HOC

In attendance:

Nicola Troy	Meeting Administrator	MA
Angela Pieri	External Auditor, Grant Thornton	EA-GT
Jane Mullin	Deputy Chief People Officer	DCPO
Emma Wilby	Specialist Nurse Neuro-Oncology	SNNO
Samantha Holman	Divisional Operations Manager	DOM
Jay Panicker	Consultant Neurologist	CN

In attendance:

2 Staff Members
2 Public Members

Apologies:

Katharine Dowson	Corporate Secretary	CS
Ray Walker	Non-Executive Director	NED
Mike Gibney	Chief People Officer	CPO
Lindsey Vlasman	Chief Operating Officer	COO
Robert Howe	Public Governor Cheshire	Gov
Carole Hulse	Public Governor Cheshire	Gov
Geoff Heyes	Public Governor Rest of England	Gov
Peter Clegg	Partnership Governor Liverpool University	Gov
Louis Pate	Staff Governor Nursing	Gov
Carla Worrall	Staff Governor Non-Clinical	Gov

1. Welcome and Apologies

- 1.1. The Chair introduced the CEO, Executives, and Non-Executives, and welcomed members and attendees to the meeting as this was the first meeting held in person for three years due to the Covid pandemic, members had also been given the option to join virtually.

2. Declarations of Interest

- 2.1. There were no declarations of interest and no questions had been received in advance of the meeting. Members were invited to submit questions at the end of the meeting.

3. Annual Report 2021-22

- 3.1. The CEO summarised the previous year, noting that although there were improvements on the previous year due to the Covid-19 pandemic, it had remained a difficult year. Despite improvements, the Trust continued to adapt, improve, react quickly and focus on the recovery from the pandemic in line with national and regional expectations. The Trust was not yet back to the activity levels seen before the pandemic however, the Trust was improving dramatically and achieving trajectories in line with national and regional expectations in relation to cancer diagnostics and treatment.
- 3.2. Regarding the recovery of Covid, the trust continued to face challenges in relation to covid related sickness in staff and patients which adds to further delays in treatment, impacting on long waiting patients who have waited up to 104+ weeks for their procedures. The Trust continues to work towards eradicating long waiting lists in a timely manner.
- 3.3. The Trust also supported staff through the pandemic with the roll out of the staff vaccination programme which did have challenges. As an organisation, the Trust recognised measures were required surrounding visiting patients and the importance of this, adapting quickly and putting protective measure in place.
- 3.4. The Trust is particularly proud of the following achievements made through 2021/22 :
 - 24/7 Thrombectomy
 - Rapid Access to Neurology Assessment (RANA)
 - Tessa Jowell Centre of Excellence
 - Spinal Surgery Regional Centre for Cheshire and Merseyside.
 - Leading in Organ Donation
 - MR-Guided Ultrasound
 - NHS Inpatient Survey results
 - Continued focus on education
- 3.5. The Trust recognised that staff are the Trusts biggest asset and continued support to recognise and support staff through ways that are measured by investors in people Gold (IIP). Support for staff included:
 - Mental health First Aiders
 - Occupational Health Services
 - Health MOT's

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- Employee benefit services
- Flexible and agile working
- Identified ways to improve rest spaces for staff

3.6. CEO advised that there had been some changes to the Non-Executive Directors (NEDs) on the Trust Board:

- **New Chair Max Steinberg** – extensive experience across business, innovation, and industry with a longstanding career in the Liverpool system.
- **NED Professor Paul May**- Consultant Neurosurgeon who had been at the Walton Centre for many years and brings a clinical expertise to the board.
- **NED Ray Walker**- Registered Nurse who has years of operational and strategic experience in a diverse number of roles across the NHS.

3.7. The pandemic had a large impact on the Walton Centre Charity and events. However, the Charity have resumed social events in 2021/22 and held the Jan Fairclough Ball for the tenth successive year. The Charity support staff environments and this year had supported the new Doctors Mess and the Breathe Easy Garden for Staff.

The Members noted the Annual Report 2021/2 highlights

4. Transcranial MRI Guided Ultrasound Presentation

- 4.1. Dr Jay Panicker Consultants Neurologist gave an informative presentation on the Transcranial MRI Guided Ultrasound. The treatment was devised for patients who suffer from Essential Tremors, which are the most common movement disorder. The Trust have treated seven patients successfully to date and the service aims to treat 75 Patients per year in the future.
- 4.2. Gov-AB asked why the patient has a fully shaved head if this was a non-invasive treatment technique Dr Panicker replied that as this technique is so precise, hair can obstruct the ultrasound waves so shaving the patients head was necessary.
- 4.3. Gov-NM asked if the results are permanent, Dr Panicker advised that treatment results last for around four years and further treatment may be required. He added in the US it is approved and works well for people with Parkinson's disease.
- 4.4. NED-SR asked if there were any plans for the Walton Centre to be certified as a centre for treatment. Dr Panicker advised that to achieve this the the Trust are required to see 15 patients per month.
- 4.5. Gov-NM asked what the Trust is doing to promote this treatment. HOC advised that the Trust and Consultants were showcased on Granada Reports and the first patient was interviewed. It was also covered on social media and inquiries regarding the treatment had been received as a result.
- 4.6. Dr Panicker added that he and Mr Jibril Farah (Consultant Neurosurgeon) will attend the National Tremor Foundation on October 1st to promote this service.

5. Lead Governor Report

5.1. LG gave an overview of the last 12 months and highlighted the following points:

- **Governor Elections.** There were eleven vacancies in 2022, and seven vacancies were filled through an election process for Merseyside, Cheshire, and Rest of England constituencies. Unfortunately, no candidates stood in North Wales. LG extended a warm welcome to all new Governors and thanked all departing Governors.
- **Governor Engagement:** Covid had affected Governor activity and many meetings were moved online. Working in this way has enabled Governor engagement to be streamlined and the Trust is now moving to a blend of in person and online attendance for meetings, which has proved to be more convenient.
- **Governor Induction:** A formal induction day will be held online supported by colleagues at Liverpool Heart and Chest Hospital for new Governors, with all Governors welcome to attend to refresh their knowledge.
- **Membership Engagement:** Online Membership events in have been taking place and to encourage Members to join.

5.2. The Chair expressed thanks to LG for her continued support to the Council of Governors.

The Members noted the Lead Governor's Update

6. Trust Strategy

6.1. The MD gave a brief overview of the new Trust Strategy for 2022-25, the Trust's strategic ambitions and aims which focus on patient care and quality of care. There are five key ambitions:

- **Education, training and learning** – Leading the way in neurosciences education and training
- **Research and innovation** – Delivering high-quality clinical neuroscience research, in collaboration with universities and commercial partners
- **Leadership** – Developing the right people with the right skills and values to enable sustainable delivery of health services
- **Collaboration** – Clinical and non-clinical collaborations across and beyond the Integrated Care System (ICS), building on existing relationships and services
- **Social responsibility**- Supporting our local communities and providing services for patients within and beyond Cheshire and Merseyside

6.2. This is an ambitious strategy and will be delivered using the existing transformational model, working directly with operational teams, staff and clinicians.

The Members noted the Trust Strategy

7. Annual Accounts 2021-22

7.1. CFO gave an overview of the Trust Financial Performance 2021-22. The principle for 2021-22 was for the Trust was to break even which was achieved. Specific funding was provided for additional Covid-19 related costs and growth along with funding for the additional costs of CNST premiums.

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- 7.2. There was no formal requirement for the Trust to reduce cost and efficiency during the pandemic however, to achieve a breakeven there were some non-recurrent efficiencies delivered.
- 7.3. The CFO advised that the Trust continued to invest in patient safety and service developments and in addition clinical services and have invested in the below:
- Medical equipment infrastructure £1.2m.
 - Replacement CT scanner and the first Transcranial MR £3.4m.
 - Replacement pipework £0.9m.
 - Investments in Trust estate £0.5m.
 - IM&T development of clinical systems and infrastructure £4.3m.
 - Equipment in relation to Covid-19 response £0.6m.
- 7.4. The CFO reported that looking forward to 2022/23, the Trust continues to be funded based on block funding. This includes adjustments for inflation, excess inflation, CNST, latest pay settlements and elective recovery funding. It is planned that the majority of the specialised commissioning funding will be moved into the ICS depending on the readiness of services to transfer. This is likely to be in April 2024/2025. Services will then be commissioned by the ICS.

The Members noted the Report on the Annual Accounts 2021/22

- 7.5. Angela Pieri presented the Auditor's Report on the Annual Report and Accounts 2021/22, highlighting key points as noted below:
- Overview of the role and External Audit and key points
 - Audit work performed for 2021/22 and outcomes
 - Value for money Audit 2021/22

The Members noted the Auditor's Report

8. Constitutional Changes

- 8.1. The Chair gave a brief overview regarding proposed changes to the Constitution regarding the quorum required for the Council of Governors. The current requirement was for there to be 11 Governors present to make any decisions however that had proved quite challenging as this was over 50% of all Governors when there were a number of vacancies..
- 8.2. The Chair asked the Members to consider approval to proposed changes in Trust quoracy to state that it should be one-third of current Governors to achieve Governors . This would make the current quorum nine Governors. The Board of Directors and Council of Governors had already approved the changes and it was for the meeting to ratify these changes.

The changes to the Constitution were ratified by the meeting.

- 8.3. The Chair advised that the Constitution was available on the Trust website at www.thewaltoncentre.nhs.uk

9. Brain Tumour Pathway Presentation

9.1. Mr Andrew Brodbelt, Consultant Neurosurgeon, Emma Wilby, Advance Nurse Practitioner and Sam Holman, Operational Lead gave a fantastic presentation on the Brain Tumour Pathway. The Brain Tumour pathway was created and developed in collaboration with St Helen and Knowsley Teaching Hospitals NHS Foundation Trust. All patients identified with a brain tumour would be part of this pathway which includes best supportive care. The team launched a learning and sharing event which was held 20th June 2022, coordinated by NHS Cancer Alliance to share education, explain the pathway, and engage other Trusts who could benefit from this pathway. The Trust had received expression of interest from Wirral University Teaching Hospital NHS Foundation Trust, Warrington and Halton Hospitals NHS Foundation Trust and Liverpool University Hospitals NHS Foundation Trust, who have since adopted this pathway.

9.2. NED-PM asked what percentage of primary brain tumour patients end up on the pathway and added, the supportive care pathway should be everybody whether they receive cranial neurosurgery or not they have the same worries and require same after support.

AB advised that the non-Surgical group seen would be about double the number treated and of these about 30% would need Best Supportive Care (which equated to approximately one patient week).

9.3. Emma Wilby added although there were no official numbers to report on at this early stage, an audit of numbers of patients would be recorded. In addition, the Service would ask patients and their families to complete a Patient Experience Survey to understand their experience, where the service is performing and where it could improve to ensure all the patient and their family needs are being met in the right way.

9.4. NED-PM asked how this pathway fits with national priorities. AB advised that the Trust are finalists for the Nursing Times Awards with this pathway and added that this had great potential for a national transformation programme.

9.5. A Member asked if there was any way GPs could complete screening for patients rather than being sent for CT scans? AB advised there is interesting research happening regarding blood markers and light spectroscopy but currently this is not possible. It would be very rare for a GP to see a patient with a brain tumour. The vast majority of scans done from GP referrals querying cancer are reported as normal.

10. Any other Business and Close of Meeting

10.1. The Chair closed the meeting by thanking the presenters, attendees, and members for their support during the meeting.

11. Meeting Close

11.1. The chair noted that a recording of the Walton Centre Virtual Annual Members Meeting 2022 and slideshow would be available on the Trust website.

**Report to Annual Members Meeting
13 September 2023**

Report Title	Update to the Trust Constitution		
Executive Lead	Jan Ross, Chief Executive		
Author (s)	Katharine Dowson, Corporate Secretary		
Action Required	To approve		
Level of Assurance Provided <i>(do not complete if not relevant e.g. work in progress)</i>			
<input type="checkbox"/> Acceptable assurance Systems of controls are suitably designed, with evidence of them being consistently applied and effective in practice	<input type="checkbox"/> Partial assurance Systems of controls are still maturing – evidence shows that further action is required to improve their effectiveness	<input type="checkbox"/> Low assurance Evidence indicates poor effectiveness of system of controls	
Key Messages			
<ul style="list-style-type: none"> A full review, with legal advice, of the Constitution has taken place with three key areas of change: <ul style="list-style-type: none"> Updates following Health and Care Act 2022 Changes to the Standing Orders of Council of Governors Changes proposed to the composition of the Council of Governors 			
Next Steps <i>(actions to be taken following agreement of recommendation/s by Board/Committee)</i>			
<ul style="list-style-type: none"> Agreed changes to be ratified at the Annual Members Meeting in September 			
Related Trust Strategic Ambitions and Themes		Impact <i>(is there an impact arising from the report on any of the following?)</i>	
Not Applicable		Not Applicable	Not Applicable
Strategic Risks			
Not Applicable	Choose an item.	Choose an item.	
Equality Impact Assessment Completed <i>(must accompany the following submissions)</i>			
Strategy <input type="checkbox"/>	Policy <input type="checkbox"/>	Service Change <input type="checkbox"/>	
Report Development			
Committee/ Group Name	Date	Lead Officer (name and title)	Brief Summary of issues raised and actions agreed
CoG Advisory Committee	9 May 2023	K Dowson, Corporate Secretary	Broad agreement to proposals. Minor changes to be made to tidy up document
Board of Directors	1 June 2023	K Dowson, Corporate Secretary	Agreement of proposals All references to he/him to be changed to they/their

Update to the Trust Constitution

Executive Summary

1. Following the passing of the Health and Care Act in 2022 the Company Secretaries in Cheshire and Merseyside, acting through Cheshire and Merseyside Acute and Specialist Trusts (CMAST) Provider Collaborative, asked Hill Dickinson to conduct a review of the NHS model Constitution and bring it up to date and in line with statutory requirements. In particular this review updated terminology, for example replacing Monitor with NHS England and making explicit the new powers to collaborate and form statutory bodies with other organisations.
2. At the same time an internal review of the Constitution has been conducted to ensure it is in line with current practice and remains fit for purpose. There is some duplication that has been removed and there are some further elements proposed for removal to streamline processes or remove detail of operational processes.
3. It is proposed that the composition of the Council of Governors is reviewed to improve its effectiveness as it is currently comparatively large (33 posts) and many of these posts are not filled.
4. Changes proposed to the text of the Constitution are summarised in Appendix 1 and Appendix 2 includes the full revised text.

Changes to Standing Orders of the Council of Governors

5. There was one proposed change to the standing orders of the Council of Governors that was taken to the Advisory Group in May now that the quorum has been reduced. This relates to the number of Governors who may call a meeting. The proposal is to change this to one third of current Governors as per the quorum rather than eleven Governors
6. A new change has since been proposed regarding changing the Standing Orders in paragraph 4.14. The current process is that any motion to amend the Standing Orders must be signed by seven Governors and submitted at least 21 days before the meeting is proposed. It is proposed to add 'or gain approval from the Advisory Committee'. This will reduce the administrative burden but still ensure that Governors have early sight of any proposed changes.

Composition of the Council of Governors

7. The composition of the Council of Governors was established when the Trust became a Foundation Trust in 2009. The structure reflected the wide reach of the Trust and the number of key stakeholders in the Liverpool and wider areas.
8. The statutory requirements are as follows:

The Council of Governors, subject to the 2006 Act, shall seek to ensure that through the composition of the Council of Governors:

- 1.1 *the interests of the community to whom the Foundation Trust provides services are appropriately represented;*

1.2 *the level of representation of the Public Constituency, the classes of the Staff Constituency and the appointing organisations strikes an appropriate balance having regard to their legitimate interest in the Foundation Trust's affairs;*

and to this end, the Council of Governors:

1.3 *shall from time to time and not less than every two years review the policy for the composition of the Council of Governors, and when appropriate shall propose amendments to this Constitution*

9. To meet the requirements of the 2006 Act the following conditions must be met:
- More than half of the members of the Council of Governors are to be elected by members of the trust other than those who come within the Staff Constituency. Therefore, there must be a majority of public governors.
 - At least three members of the Council of Governors are to be elected by the Staff Constituency
 - The 2012 Act abolishes the requirement for a primary care trust (PCT) governor. There is no requirement for a commissioner governor to be appointed in place of former PCT governor/s though Trusts may wish to nominate a commissioner/s as an organisation specified for the purposes of appointing a governor.
 - At least one member of the Council of Governors is to be appointed by one or more qualifying local authorities. A qualifying local authority is a local authority for an area which includes the whole or part of an area specified in the constitution as a public constituency
 - If any of the trust's hospitals includes a medical or dental school provided by a university, at least one member of the Council of governors is to be appointed by that university
10. Following review It is proposed to cut the number of governors posts from 33 to 24 or 25 as per Table 1.

Type of Governor	Current	Proposed	Number currently filled
Appointed	12	8	5
Public	17	13	10
Merseyside	8	5	4
Cheshire	4	3	3
North Wales	3	3	2
Rest of England	2	2	1
Staff	4	4	3
Total	33	25	18

11. This would have no impact on any Governors currently in post as the seats removed are currently empty or at the end of term. There would remain 13 public governors and 12 staff and appointed governors.
12. The impact on elections for 2023, taking into account the end of term for some Governors, would be:
- Merseyside – going out for two Governors rather than five
 - Cheshire – not going to election this time
 - North Wales – no change, would still need to recruit to one vacant post
 - Rest of England – no change, would still need to recruit to one vacant post
 - Staff – no change, would still need to recruit to one vacant post

13. This would result in some saving of costs as the trust would not need to hold an election from the Cheshire constituency.
14. The greatest change would be to appointed Governors, there are currently only five posts filled out of twelve and this has been the position for some time. It is proposed to drop the following posts:
 - Healthwatch – no nominations have been provided. There is a potential conflict of interest as Healthwatch is an organisation which advocates on behalf of patients and is an independent voice which may be difficult to balance with being part of the Trust structures. Healthwatch remain actively involved with officers of the Trust and are members of the Patient Experience Group.
 - Isle of Man Society for MS – this is a very small organisation with limited resource who have not been able to provide a nomination. They are part of the wider Neurological Alliance and it is proposed that their views would be covered this way
 - North Wales Neurological Conditions Partnership – no longer in place, this is now the Wales Neurological Alliance which is closely aligned to the Neurological Alliance (see paragraph 17)
 - North Wales Community Health Council – has previously provided a Governor but has now ceased to operate. It has now been replaced with LLAIS which is a Citizens Voice body along similar lines to Healthwatch and therefore the same concerns would exist.
 - Clinical Commissioning Groups (See note 7c above) – no longer in place, replaced with Cheshire and Merseyside Integrated Care Board). There is no appetite from the ICS to nominate to every Council of Governors in Cheshire & Merseyside and many Trusts dropped the requirement for a Commissioner Governor when the PCT requirement was removed.
15. The Trust must have a Governor from a local authority and further endeavours will be made to secure a nomination from both Liverpool and Sefton Councils.
16. The Trust has two incumbent University governors and with the Trust securing University Hospitals status this link remains important and therefore no change is proposed. It is also not proposed to change the post for the North West Coast Clinical Network.
17. Links to third sector groups also remain very important as these provide feedback directly from patients. The Neurological Alliance is an umbrella organisation representing many smaller charities and patient groups. Currently there is a Cheshire and Merseyside representative, and it is proposed to widen this post to the Neurological Alliance and not limit it to Cheshire and Merseyside in the future if the post became vacant.
18. The Brain Charity is a local organisation which provides ongoing support to many of the Trusts patients. The Group are asked to consider whether a governor for the Neurotherapy Centre based in Chester should also be explored as this centre provides similar services in Cheshire and North Wales. There has been an expression of interest from the CEO of the Neurotherapy Centre who is also a representative on Neurological Alliance Wales.
19. The proposal is that there should be 8 appointed Governors in the future as set out in Annex 3 of the Constitution:

- Liverpool City Council
- Sefton Metropolitan Borough Council
- Edge Hill University
- University of Liverpool
- Cheshire and Merseyside Clinical Network
- Neurological Alliance
- Neurotherapy Centre, Chester
- The Brain Charity

Conclusion

20. The Constitution has not been fully reviewed since 2018 and the changes in legislation have provided an opportunity to review the whole document and whether it still meets the needs of the Trust.
21. The composition of the Council of Governors has not been amended since it was established. Changes proposed would refresh the Council and enable it to become fully established without multiple vacancies. This would include reducing the number of appointed governors to 8 from the current 12.

Recommendation

- To approve the proposed changes

Author: Katharine Dowson

Date: June 2023

Appendix 1 – Summary of Changes to Constitution

Appendix 2 – Full Text of Constitution

Appendix 1 – Summary of Changes (also marked using tracked changes in the full text at Appendix 2)

Page No.	Reference	Summary of Changes
1	Cover	Reference to Health and Care Act 2022 (HCA 2022) added and new revision date
2	Interpretation	Additional Paragraph Added in
2	Contents	Updated to reflect changes in document
4	Interpretation and Definitions	Reference to HCA 2022 added Definitions added in
5-6	4. Powers	Items 4.3 to 4.12 added as defined in the HCA 2022
10	14.1 Council of Governors Tenure	Removal of reference to term commencing immediately after the Annual Members Meeting as it limiting and approval of Governors appointment at AMM is not required.
9	14.4 Council of Governors Tenure	Max term of office remains at nine years, but language simplified in line with model constitution

10	14.5 Council of Governors Tenure	'Terminates the appointment' replaced with 'withdraws its sponsorship' in line with model constitution
10	14.7 Council of Governors Tenure	Removal of clarification clause about terms of office being linked to AMM.
10-11	15.4 Council of Governors – disqualification and removal	Addition of 15.1 and 15.4 regarding disqualification and removal of Governors. Previously absent from Constitution but is required
13	19 Council of Governors – referral to the panel	The NHSE panel does not formally exist as there have been no referrals made, however this would be convened if required. Additional clause at 19.3 added in which requires the trust to provide advice and guidance to enable Governors to fulfil their duties as per legal advice.
14	26. Appointment/ Removal of Chair and NEDs	26.3 removed as refers to a paragraph on initial appointments paragraph which had previously been removed as no longer relevant.
15	27 Appointment of Deputy Chair	The current clause and process is additional to the model Constitution. It is proposed to remove the detail of the process and replace this with clause 29 which requires ratification of the appointment by the Council of Governors rather than a mandated process. Wording aligned to clause 27 re appointment of Senior Independent Director. Reference to appointment also removed from paragraph 3.2 of Annex 6.
16	30. Board of Directors – disqualification	Additional clauses added at 30.2 as per legal advice
19	32. Board of Directors – Conflicts of Interest	32.10 Addition of provisions to agree when a conflict of interest would be deemed as authorised as per legal advice. Previously not included in constitution.
21	39.2 Auditor	Addition of clause 39.2, as set out in the new Code of Governance (D2.3), that external auditors must be retendered at least every ten years and changed at least every twenty years.
21	41. Accounts	Note - There are a number of requirements in the NHS Act 2006 Schedule 7 as to annual reports prior to the 2022 Act which are not set out within the Model Core Constitution. Therefore, the new changes to these annual reporting requirements (such as the extent to which the Trust has exercised its functions in accordance with the joint forward plans and joint capital resource plans published for the ICB and its partners) are not included in the Model Core either.
42	Annual report, forward plans	Removal of clause 42.1 with requirements of annual report. The detail of what must be in the annual report is in the NHS Annual Reporting Manual which is published each year and it is a statutory obligation to comply with this. Current clause is not comprehensive and not required. (see note in row above).
Annexes to the Constitution		
25	Annex 1 – The Public Constituencies	Change to the minimum number of members in any public constituency to three to reflect number in North Wales constituency.

27	Annex 2 – Composition of Council of Governors	<p>3.1 To reflect changes proposed to the number of governors in public constituencies.</p> <p>3.2 Removal of information duplicated in Annex 2.</p> <p>3.3 To reflect changes proposed to the number of appointed governors.</p>
78	Annex 5 3. Lead Governor	Remove reference to the Lead Governor as also being Vice Chair of the Council of Governors as this is not in line with the Lead Governor Role specification most recently agreed by the Council which states that the Lead Governor will only “Undertake the role of Deputy Chairman of the Council of Governors in exceptional circumstances when it is not appropriate for the Chairman or another Non-Executive Director to do so”. The Deputy Chair would normally deputise for the Chair
80	Annex 5 4. Further provisions as to eligibility to be a Governor	<p>4.10 to 4.14 removed as duplicate provisions already exist in 15.4 and there was some discrepancy between the two ie number of consecutive meetings missed by Governors before ceasing to hold office was two in 15.4 and three in Annex 5.</p> <p>4.11</p> <p>Paragraph 5.5 of Annex 5 To be removed as it duplicates clause 15.4.8 in the Constitution and states a different majority required to remove a governor, here three-quarters rather than the majority stated in 15.4.8</p>
82	Annex 5 5.1 Vacancies	<p>Title changed to Mid Term Vacancies among Governors.</p> <p>New wording added at paragraph 5.1 which enables the Trust to only hold elections once a year even if there is a vacancy, this reflects current practice</p> <p>5.2 Rewording of previous paragraph 5.1 to simplify process</p>
82	Annex 5 6. Expenses	Removal of clause with requirements of annual report as the detail of what must be in the annual report is in the NHS Annual Reporting Manual which is published each year and it is a statutory obligation to comply with this, current clause is not comprehensive as there are a number of requirements regarding Governors that need to be included in the annual report.
93	Annex 6 Standing Orders Council of Governors 4.14 Changes to Standing Orders	Additional sub section added which allows changes to the Standing Orders to be approved at the Advisory Group as an alternative to the process outlined in 4.14.2 <i>Change to Standing Order therefore requires three-quarters of Governors in attendance to agree and must be signed by 7 governors at least 21 days before the meeting.</i>
85	Annex 6 Standing Orders Council of Governors 4.2 Calling Meetings	Requirement for there to be 11 Governors to call a meeting changed to one-third of current Governors to duplicate the quorum requirement.
122	Annex 8 – Further Provisions – Members 4.1.2	4.1.2 removed text as duplicates 3.6.2.1-3 of Annex 8

**Constitution of
The Walton Centre NHS Foundation Trust**

(A Public Benefit Corporation)

**(updated as per the Health and Social Care Act 2012 and the
Health and Care Act 2022)**

Revised June 2023

Interpretation

Unless otherwise stated, all references are to paragraph numbers in Schedule 7 of the 2006 Act as amended by the 2012 Act and 2022 Act.

Unless otherwise stated, the Model Core Constitution reflects the relevant provisions of the 2006 Act as amended by the 2012 Act and 2022 Act.

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1. Interpretation and definitions

Unless otherwise stated, words or expressions contained in this constitution shall bear the same meaning as in the National Health Service Act 2006 as amended by the Health and Social Care Act 2012 and Health and Care Act 2022.

A reference to legislation or to a legislative provision shall be to that legislation or legislative provision as it is in force, amended or re-enacted from time to time.

Words importing the masculine gender only shall include the feminine gender; words importing the singular shall import the plural and vice-versa.

the 2006 Act is the National Health Service Act 2006.

the 2012 Act is the Health and Social Care Act 2012.

the 2022 Act is the Health and Care Act 2022.

Annual Members Meeting is defined in paragraph 13 of the constitution

constitution means this constitution and all annexes to it.

NHSE is the body corporate known as NHS England, as provided by Section 1H of the 2006 Act.

the **Accounting Officer** is the person who from time to time discharges the functions specified in paragraph 25(5) of Schedule 7 to the 2006 Act.

2. Name

2.1 The name of the trust is The Walton Centre NHS Foundation Trust (the trust).

2.2 The trust's head office is at Lower Lane, Fazakerley, Liverpool.

3. Principal purpose

3.1 The principal purpose of the trust is the provision of goods and services for the purposes of the health service in England.

3.2 The trust does not fulfil its principal purpose unless, in each financial year, its total income from the provision of goods and services for the purposes of the health service in England is greater than its total income from the provision of goods and services for any other

purposes.

- 3.3** The trust may provide goods and services for any purposes related to:
- 3.3.1** the provision of services provided to individuals for or in connection with the prevention, diagnosis or treatment of illness, and
 - 3.3.2** the promotion and protection of public health.
- 3.4** The trust may also carry on activities other than those mentioned in the above paragraph for the purpose of making additional income available in order better to carry on its principal purpose.

4. Powers

- 4.1** The powers of the trust are set out in the 2006 Act.
- 4.2** All the powers of the trust shall be exercised by the Board of Directors on behalf of the trust.
- 4.3** Any of these powers may be delegated to a committee of directors or to an executive director.
- 4.4** The trust may enter into arrangements for the carrying out, on such terms as the trust considers appropriate, of any of its functions jointly with any other person.
- 4.5** The trust may arrange for any of the functions exercisable by the trust to be exercised by or jointly with any one or more of the following:
- 4.5.1** A relevant body;
 - 4.5.2** A local authority within the meaning of section 2B of the 2006 Act;
 - 4.5.3** A combined authority.
- 4.6** The trust may also enter into arrangements to carry out the functions of another relevant body, whether jointly or otherwise.
- 4.7** Where a function is exercisable by the trust jointly with one or more of the other organisations mentioned at paragraph 4.5, those organisations and the trust may:
- 4.7.1** Arrange for the function to be exercised by a joint committee

of theirs;

- 4.7.2** Arrange for the trust, one or more of those other organisations, or a joint committee of them, to establish and maintain a pooled fund in accordance with section 65Z6 of the 2006 Act.
- 4.8** The trust must exercise its functions effectively, efficiency and economically.
- 4.9** In making a decision about the exercise of its functions, the trust must have regard to all likely effects of the decision in relation to:
- 4.9.1** The health and well-being of (including inequalities between) the people of England and areas of Wales served by the Trust.
- 4.9.2** The quality of services provided to (including inequalities between benefits obtained by) individuals by or in pursuance of arrangements made by relevant bodies for or in connection with the prevention, diagnosis or treatment of illness, as part of the health service in England and Wales
- 4.9.3** Efficiency and sustainability in relation to the use of resources by relevant bodies for the purposes of the health service in England and Wales.
- 4.10** In the exercise of its functions, the trust must have regard to its duties under section 63B of the 2006 Act (complying with targets under section 1 of the Climate Change Act 2008 and section 5 of the Environment Act 2021, and to adapt any current or predicted impacts of climate change in the most recent report under section 56 of the Climate Change Act 2008).
- 4.11** For the purposes of this section, “relevant body” means NHSE, an integrated care board, an NHS trust, a NHS foundation trust (including the trust) or such other body as may be prescribed under section 65Z5(2). “Relevant bodies” means two or more of these organisations as the context requires.
- 4.12** The arrangements under this paragraph 4 shall be in accordance with:
- 4.12.1** any applicable requirements imposed by the 2006 Act or regulations made under that Act
- 4.12.2** any applicable statutory guidance that has been issued and
- 4.12.3** otherwise on such terms as the trust sees fit.

5. Membership and constituencies

The trust shall have members, each of whom shall be a member of one of the following constituencies:

5.1 a public constituency

5.2 a staff constituency

6. Application for membership

An individual who is eligible to become a member of the trust may do so on application to the trust.

7. Public Constituency

7.1 An individual who lives in an area specified in Annex 1 as an area for a public constituency may become or continue as a member of the trust.

7.2 Those individuals who live in an area specified as a public constituency are referred to collectively as the Public Constituency.

7.3 The minimum number of members in each Public Constituency is specified in Annex 1.

8. Staff Constituency

8.1 An individual who is employed by the trust under a contract of employment with the trust may become or continue as a member of the trust provided:

8.1.1 they are employed by the trust under a contract of employment which has no fixed term or has a fixed term of at least 12 months; or

8.1.2 he has been continuously employed by the trust under a contract of employment for at least 12 months.

8.2 Those individuals who are eligible for membership of the trust by reason of the previous provisions are referred to collectively as the Staff Constituency.

8.3 The Staff Constituency shall be divided into four descriptions of individuals who are eligible for membership of the Staff Constituency, each description of individuals being specified within

Annex 2 and being referred to as a class within the Staff Constituency.

- 8.4 The minimum number of members in each class of the Staff Constituency is specified in Annex 2.
- 8.5 The Secretary shall make the final decision about the class of which an individual is eligible to be a member.

9. Automatic membership by default - staff

- 9.1 An individual who is:
 - 9.1.1 eligible to become a member of the Staff Constituency, and
 - 9.1.2 invited by the trust to become a member of the Staff Constituency and a member of the appropriate class within the Staff Constituency

shall become a member of the trust as a member of the Staff Constituency and appropriate class within the Staff Constituency without an application being made, unless they inform the trust that they do not wish to do so.

10. Restriction on membership

- 10.1 An individual who is a member of a constituency, or of a class within a constituency, may not while membership of that constituency or class continues, be a member of any other constituency or class.
- 10.2 An individual who satisfies the criteria for membership of the Staff Constituency may not become or continue as a member of any constituency other than the Staff Constituency.
- 10.3 An individual must be at least 16 years old to become a member of the trust.
- 10.4 Further provisions as to the circumstances in which an individual may not become or continue as a member of the trust are set out in Annex 8 – Further Provisions - Members.

11. Annual Members' Meeting

- 11.1 The Trust shall hold an annual meeting of its members ('Annual

Members' Meeting'). The Annual Members' Meeting shall be open to members of the public.

- 11.2** Further provisions about the Annual Members' Meeting are set out in Annex 8 – Further Provisions – Members.

12. Council of Governors – composition

- 12.1** The trust is to have a Council of Governors, which shall comprise both elected and appointed governors.
- 12.2** The composition of the Council of Governors is specified in Annex 3.
- 12.3** The members of the Council of Governors, other than the appointed members, shall be chosen by election by their constituency or, where there are classes within a constituency, by their class within that constituency. The number of governors to be elected by each constituency, or, where appropriate, by each class of each constituency, is specified in Annex 3.

13. Council of Governors – election of governors

- 13.1** Elections for elected members of the Council of Governors shall be conducted in accordance with the Model Election Rules.
- 13.2** The Model Election Rules as published from time to time by NHS Providers form part of this constitution. The Model Election Rules current are attached at Annex 4.
- 13.3** A subsequent variation of the Model Election Rules by NHS Providers shall not constitute a variation of the terms of this constitution for the purposes of paragraph 44 of the constitution (amendment of the constitution).
- 13.4** An election, if contested, shall be by secret ballot.

14. Council of Governors - tenure

- 14.1** An elected governor may hold office for a period of up to three years.
- 14.2** An elected governor shall cease to hold office if they cease to be a member of the constituency or class by which they were elected.

- 14.3** An elected governor shall be eligible for re-election at the end of their term.
- 14.4** An appointed governor may hold office for a period of up to nine consecutive years.
- 14.5** An appointed governor shall cease to hold office if the appointing organisation withdraws its sponsorship of him.
- 14.6** An appointed governor shall be eligible for re-appointment at the end of his term.

15. Council of Governors – disqualification and removal

- 15.1** The following may not become or continue as a member of the Council of Governors:
 - 15.1.1** a person who has been bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;
 - 15.1.2** a person in relation to whom a moratorium period under a debt relief order applies (under Part 7A of the Insolvency Act 1986);
 - 15.1.3** a person who has made a composition or arrangement with, or granted a trust deed for, his creditors and has not been discharged in respect of it;
 - 15.1.4** a person who within the preceding five years has been convicted in the British Islands of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three months (without the option of a fine) was imposed on him.
- 15.2** Governors must be at least 16 years of age at the date they are nominated for election or appointment.
- 15.3** Further provisions as to the circumstances in which an individual may not become or continue as a member of the Board of Governors are set out in Annex 5.
- 15.4** A person holding office as a governor shall immediately cease to do so if:
 - 15.4.1** he resigns by notice in writing to the Secretary;
 - 15.4.2** it otherwise comes to the notice of the Secretary at the time that the governor takes office or later that the governor is disqualified,

- 15.4.3** he fails to attend two Council of Governor meetings in any financial year, unless the other governors are satisfied that the absences were due to reasonable causes and they will be able to start attending meetings of the Trust again within such a period as they consider reasonable;
- 15.4.4** in the case of an elected governor, they cease to be a member of the Trust;
- 15.4.5** in the case of an appointed governor, the appointing organisation withdraws its sponsorship;
- 15.4.6** they have failed to undertake any induction/ training which the Council of Governors requires all governors to undertake
- 15.4.7** he has failed to sign and deliver to the Secretary a statement in the form required by the Council of Governors confirming acceptance of the Trust's Code of Conduct for Governors;
- 15.4.8** they are removed from the Council of Governors by a resolution approved by a majority of the remaining governors present and voting at a General Meeting on the grounds that:
 - 15.4.8.1** he has committed a serious breach of the Trust's Code of Conduct, or
 - 15.4.8.2** he has acted in a manner detrimental to the interests of the Trust, or
 - 15.4.8.3** he has failed to discharge his responsibilities as a governor.

16. Council of Governors – duties of governors

- 16.1** The general duties of the Council of Governors are –
 - 16.1.1** to hold the Non-Executive Directors individually and collectively to account for the performance of the Board of Directors, and
 - 16.1.2** to represent the interests of the members of the trust as a whole and the interests of the public.
- 16.2** The trust must take steps to secure that the governors are equipped with the skills and knowledge they require in their capacity as such.

17. Council of Governors – meetings of governors

- 17.1** The Chair of the trust (i.e. the Chair of the Board of Directors,

appointed in accordance with the provisions of paragraph 23.2 and 26) or, in his absence, the Deputy Chair (appointed in accordance with the provisions of paragraph 28 below), shall preside at meetings of the Council of Governors.

- 17.2** Meetings of the Council of Governors shall be open to members of the public. Members of the public may be excluded from a meeting for reasons of commercial confidentiality or special reasons.
- 17.3** For the purposes of obtaining information about the trust's performance of its functions or the directors' performance of their duties (and deciding whether to propose a vote on the Trust's or directors' performance), the Council of Governors may require one or more of the directors to attend a meeting.

18. Council of Governors – standing orders

The standing orders for the practice and procedure of the Council of Governors are attached at Annex 6.

19. Council of Governors – referral to the Panel

- 19.1** In this paragraph, the Panel means a panel of persons appointed by NHSE to which a governor of an NHS foundation trust may refer a question as to whether the trust has failed or is failing—
- 19.1.1** to act in accordance with its constitution, or
 - 19.1.2** to act in accordance with provision made by or under Chapter 5 of the 2006 Act.
- 19.2** A governor may refer a question to the Panel only if more than half of the members of the Council of Governors voting approve the referral.
- 19.3** Without prejudice to the ability of a governor to make a referral to the Panel, the trust must take steps to secure that governors are able to access support and / or advice, as and where necessary, to enable them to fulfil their duties.

20. Council of Governors - conflicts of interest of governors

If a governor has a pecuniary, personal or family interest, whether that interest is actual or potential and whether that interest is direct or indirect, in any proposed contract or other matter which is under consideration or is to be considered by the Council of Governors, the governor shall disclose that

interest to the members of the Council of Governors as soon as they become aware of it. The Standing Orders for the Council of Governors (Annex 6) shall make provision for the disclosure of interests and arrangements for the exclusion of a governor declaring any interest from any discussion or consideration of the matter in respect of which an interest has been disclosed.

21. Council of Governors – travel expenses

The trust may pay travelling and other expenses to members of the Council of Governors at rates determined by the trust in accordance with the Trust's Expenses Policy for Governors.

22. Council of Governors – further provisions

Further provisions with respect to the Council of Governors are set out in Annex 5.

23. Board of Directors – composition

23.1 The trust is to have a Board of Directors, which shall comprise both executive and Non-Executive Directors.

23.2 The Board of Directors is to comprise:

23.2.1 a Non-Executive Chair

23.2.2 not less than four but not more than seven other Non-Executive Directors; and

23.2.3 not less than four but not more than seven executive directors.

provided that at least half of the Board of Directors, excluding the Chair, shall at all times comprise Non-Executive Directors

23.3 One of the executive directors shall be the Chief Executive.

23.4 The Chief Executive shall be the Accounting Officer

23.5 One of the executive directors shall be the finance director

23.6 One of the executive directors is to be a registered medical practitioner.

23.7 One of the executive directors is to be a registered nurse.

24. Board of Directors – general duty

The general duty of the Board of Directors and of each director individually, is to act with a view to promoting the success of the trust so as to maximise the benefits for the members of the trust as a whole and for the public.

25. Board of Directors – qualification for appointment as a Non-Executive Director

A person may be appointed as a Non-Executive Directors only if:

- 25.1** they are a member of a Public Constituency, or
- 25.2** they are not disqualified by virtue of paragraph 30 below.

26. Board of Directors – appointment and removal of chair and other Non-Executive Directors

- 26.1** The Council of Governors at a general meeting of the Council of Governors shall appoint or remove the Chair of the trust and the other Non-Executive Directors.
- 26.2** Removal of the chair or another Non-Executive Director shall require the approval of three-quarters of the members of the Council of Governors.

27. Board of Directors – appointment of Senior Independent Director

- 27.1** The Board of Directors may appoint a Non-Executive Director as a Senior Independent Director.
- 27.2** Any appointment of a Senior Independent Director shall require the approval of the Council of Governors.

28. Board of Directors – appointment of Deputy Chair

- 28.1** The Board of Directors shall appoint a Non-Executive Director as a Deputy Chair.
- 28.2** Any appointment of a Deputy Chair shall require the approval of the Council of Governors.

29. Board of Directors - appointment and removal of the Chief Executive and other executive directors

- 29.1** The Non-Executive Directors shall appoint or remove the Chief Executive.
- 29.2** The appointment of the Chief Executive shall require the approval of the Council of Governors.
- 29.3** A committee consisting of the Chair, the Chief Executive and the other Non-Executive Directors shall appoint or remove the other Executive Directors.
- 29.4** The Chief Executive may appoint one of the executive directors as Deputy Chief Executive.

30. Board of Directors – disqualification

The following may not become or continue as a member of the Board of Directors:

- 30.1** a person who has been made bankrupt or whose estate has been sequestrated and (in either case) has not been discharged.
- 30.2** a person in relation to whom a moratorium period under a debt relief order applies (under Part 7A of the Insolvency Act 1986).
- 30.3** a person who has made a composition or arrangement with, or granted a trust deed for, his creditors and has not been discharged in respect of it.
- 30.4** a person who within the preceding five years has been convicted in the British Islands of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three months (without the option of a fine) was imposed on him.

31. Board of Directors – meetings

- 31.1** Meetings of the Board of Directors shall be open to members of the public. Members of the public may be excluded from a meeting for special reasons.
- 31.2** Before holding a meeting, the Board of Directors must send a copy of the agenda of the meeting to the Council of Governors. As soon as practicable after holding a meeting, the Board of Directors must send a copy of the minutes of the meeting to the Council of Governors.

32. Board of Directors – standing orders

The standing orders for the practice and procedure of the Board of Directors are attached at Annex 7.

33. Board of Directors - conflicts of interest of directors

- 33.1** The duties that a director of the trust has by virtue of being a director include in particular –
- 33.1.1** A duty to avoid a situation in which the director has (or can have) a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the trust.
 - 33.1.2** A duty not to accept a benefit from a third party by reason of being a director or doing (or not doing) anything in that capacity.
- 33.2** The duty referred to in sub-paragraph 33.1.1 is not infringed if –
- 33.2.1** The situation cannot reasonably be regarded as likely to give rise to a conflict of interest, or
 - 33.2.2** The matter has been authorised in accordance with the constitution.
- 33.3** The duty referred to in sub-paragraph 33.1.2 is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.
- 33.4** In sub-paragraph 33.1.2, “third party” means a person other than –
- 33.4.1** The trust, or
 - 33.4.2** A person acting on its behalf.
- 33.5** If a director of the trust has in any way a direct or indirect interest in a proposed transaction or arrangement with the trust, the director must declare the nature and extent of that interest to the other directors.
- 33.6** If a declaration under this paragraph proves to be, or becomes, inaccurate, incomplete, a further declaration must be made.
- 33.7** Any declaration required by this paragraph must be made before the trust enters into the transaction or arrangement.
- 33.8** This paragraph does not require a declaration of an interest of which the director is not aware or where the director is not aware of the

transaction or arrangement in question.

33.9 A director need not declare an interest –

33.9.1 If it cannot reasonably be regarded as likely to give rise to a conflict of interest;

33.9.2 If, or to the extent that, the directors are already aware of it;

33.9.3 If, or to the extent that, it concerns terms of the director's appointment that have been or are to be considered –

33.9.3.1 By a meeting of the Board of Directors, or

33.9.3.2 By a committee of the directors appointed for the purpose under the constitution.

33.10 A matter shall have been authorised for the purposes of paragraph 33.2.2 if:

33.10.1.1 It has been approved by the Board of Directors (excluding any director whose interest is the subject of authorisation) on the basis that to do so would be in the best interests of the trust.

33.10.1.2 The Board of Directors may grant any such authorisation in paragraph 32.2.2 subject to such terms and conditions as the Board of Directors thinks fit.

33.10.1.3 The Board of Directors may decide to revoke or vary any authorisation granted pursuant to paragraph 32.2.2 at any time, but such a decision will not affect anything done by the director(s) whose interest is the subject of authorisation prior to such revocation or variation

34. Board of Directors – remuneration and terms of office

34.1 The Council of Governors at a general meeting of the Council of Governors shall decide the remuneration and allowances, and the other terms and conditions of office, of the Chair and the other Non-Executive Directors.

34.2 The trust shall establish a committee of Non-Executive Directors to decide the remuneration and allowances, and the other terms and conditions of office, of the Chief Executive and other executive directors.

35. Registers

The trust shall have:

- 35.1** a register of members showing, in respect of each member, the constituency to which they belong and, where there are classes within it, the class to which they belong;
- 35.2** a register of members of the Council of Governors;
- 35.3** a register of interests of governors;
- 35.4** a register of directors; and
- 35.5** a register of interests of the directors.

36. Admission to and removal from the registers

- 36.1** The Secretary shall remove from the register of members the name of any member who ceases to be entitled to be a member under the provisions of this Constitution.

37. Registers – inspection and copies

- 37.1** The trust shall make the registers specified in paragraph 34 above available for inspection by members of the public, except in the circumstances set out below or as otherwise prescribed by regulations.
- 37.2** The trust shall not make any part of its registers available for inspection by members of the public which shows details of any member of the trust, if the member so requests.
- 37.3** So far as the registers are required to be made available:
 - 37.3.1** they are to be available for inspection free of charge at all reasonable times; and
 - 37.3.2** a person who requests a copy of or extract from the registers is to be provided with a copy or extract.
- 37.4** If the person requesting a copy or extract is not a member of the trust, the trust may impose a reasonable charge for doing so.

38. Documents available for public inspection

- 38.1** The trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:
- 38.1.1** a copy of the current constitution,
 - 38.1.2** a copy of the latest annual accounts and of any report of the auditor on them, and
 - 38.1.3** a copy of the latest annual report.
- 38.2** The trust shall also make the following documents relating to a special administration of the trust available for inspection by members of the public free of charge at all reasonable times:
- 38.2.1** a copy of any order made under section 65D (appointment of trust special administrator), 65J (power to extend time), 65KC (action following Secretary of State’s rejection of final report), 65L(trusts coming out of administration) or 65LA (trusts to be dissolved) of the 2006 Act.
 - 38.2.2** a copy of any report laid under section 65D (appointment of trust special administrator) of the 2006 Act.
 - 38.2.3** a copy of any information published under section 65D (appointment of trust special administrator) of the 2006 Act.
 - 38.2.4** a copy of any draft report published under section 65F (administrator’s draft report) of the 2006 Act.
 - 38.2.5** a copy of any statement provided under section 65F(administrator’s draft report) of the 2006 Act.
 - 38.2.6** a copy of any notice published under section 65F(administrator’s draft report), 65G (consultation plan), 65H (consultation requirements), 65J (power to extend time), 65KA(NHSE’s decision), 65KB (Secretary of State’s response to NHSE’s decision), 65KC (action following Secretary of State’s rejection of final report) or 65KD (Secretary of State’s response to re-submitted final report) of the 2006 Act.
 - 38.2.7** a copy of any statement published or provided under section 65G (consultation plan) of the 2006 Act.
 - 38.2.8** a copy of any final report published under section 65I (administrator’s final report),
 - 38.2.9** a copy of any statement published under section 65J (power to extend time) or 65KC (action following Secretary of State’s rejection of final report) of the 2006 Act.

38.2.10 a copy of any information published under section 65M (replacement of trust special administrator) of the 2006 Act.

38.3 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.

38.4 If the person requesting a copy or extract is not a member of the trust, the trust may impose a reasonable charge for doing so.

39. Auditor

39.1 The trust shall have an auditor

39.2 The Council of Governors shall appoint or remove the auditor at a general meeting of the Council of Governors. The External Audit Service should be re-tendered at least every ten years and changed at least every twenty years.

40. Audit committee

The trust shall establish a committee of Non-Executive Directors as an audit committee to perform such monitoring, reviewing and other functions as are appropriate.

41. Accounts

41.1 The Trust must keep proper accounts and proper records in relation to the accounts.

41.2 NHSE may with the approval of the Secretary of State give directions to the Trust as to the content and form of its accounts.

41.3 The accounts are to be audited by the trust's auditor.

41.4 The trust shall prepare in respect of each financial year annual accounts in such form as NHSE may with the approval of the Secretary of State direct.

41.5 The functions of the trust with respect to the preparation of the annual accounts shall be delegated to the Accounting Officer.

42. Annual report, forward plans and non-NHS work

42.1 The trust shall prepare an Annual Report and send it to NHSE.

- 42.2** The trust shall give information as to its forward planning in respect of each financial year to NHSE.
- 42.3** The document containing the information with respect to forward planning (referred to above) shall be prepared by the directors.
- 42.4** In preparing the document, the directors shall have regard to the views of the Council of Governors.
- 42.5** Each forward plan must include information about –
- 42.5.1** the activities other than the provision of goods and services for the purposes of the health service in England that the trust proposes to carry on, and
 - 42.5.2** the income it expects to receive from doing so.
- 42.6** Where a forward plan contains a proposal that the trust carry on an activity of a kind mentioned in sub-paragraph 41.7 the Council of Governors must –
- 42.6.1** determine whether it is satisfied that the carrying on of the activity will not to any significant extent interfere with the fulfillment by the trust of its principal purpose or the performance of its other functions, and
 - 42.6.2** notify the directors of the trust of its determination.
- 42.7** If the trust proposes to increase by 5% or more the proportion of its total income in any financial year attributable to activities other than the provision of goods and services for the purposes of the health service in England, the trust may implement the proposal only if more than half of the members of the council of governors of the trust voting approve its implementation.

43. Presentation of the annual accounts and reports to the governors and members

- 43.1** The following documents are to be presented to the Council of Governors at a general meeting of the Council of Governors:
- 43.1.1** the annual accounts
 - 43.1.2** any report of the auditor on them
 - 43.1.3** the annual report.
- 43.2** The documents shall also be presented to the members of the Trust at the Annual Members' Meeting by at least one member of the Board of Directors in attendance.

- 43.3** The Trust may combine a meeting of the Council of Governors convened for the purposes of sub-paragraph 42.1 with the Annual Members' Meeting.

44. Instruments

- 44.1** The trust shall have a seal.
- 44.2** The seal shall not be affixed except under the authority of the Board of Directors.

45. Amendment of the constitution

- 45.1** The trust may make amendments of its constitution only if:
- 45.1.1** More than half of the members of the Council of Governors of the trust voting approve the amendments, and
 - 45.1.2** More than half of the members of the Board of Directors of the trust voting approve the amendments.
- 45.2** Amendments made under paragraph 48.1 take effect as soon as the conditions in that paragraph are satisfied, but the amendment has no effect in so far as the constitution would, as a result of the amendment, not accord with schedule 7 of the 2006 Act.
- 45.3** Where an amendment is made to the constitution in relation to the powers or duties of the Council of Governors (or otherwise with respect to the role that the Council of Governors has as part of the trust):
- 45.3.1** At least one member of the Council of Governors must attend the next Annual Members' Meeting and present the amendment, and
 - 45.3.2** The trust must give the members an opportunity to vote on whether they approve the amendment.
- 45.4** If more than half of the members voting approve the amendment, the amendment continues to have effect; otherwise, it ceases to have effect and the trust must take such steps as are necessary as a result.
- 45.5** Amendments by the trust of its constitution are to be notified to NHSE. For the avoidance of doubt, NHSE's functions do not include

a power or duty to determine whether or not the constitution, as a result of the amendments, accords with Schedule 7 of the 2006 Act.

46. Mergers etc. and significant transactions

- 46.1** The trust may only apply for a merger, acquisition, separation or dissolution with the approval of more than half of the members of the council of governors.
- 46.2** The trust may enter into a significant transaction only if more than half of the members of the Council of Governors of the Trust voting approve entering into the transaction.
- 46.3** “Significant transaction” may be either an investment or divestment means.

A “transaction”.

44.2.2 A transaction is “significant” if its value equates to 25% of either the trust’s:

44.2.2.1 gross assets;

44.2.2.2 income; or

44.2.2.3 gross capital (following completion of the transaction) calculated with reference to the trust’s opening Balance Sheet for the Financial Year in which approval is being sought.

- 45.4 If more than half of the members of the Council of Governors voting decline to approve a significant transaction or any part of it, the Council of Governors must approve a written Statement of Reasons for its rejection to be provided to the Board of Directors.
- 45.5 For the avoidance of doubt, paragraph 45 does not prevent the Board of Directors from appropriate engagement with the Council of Governors, as it sees fit, to provide information on any other transaction that the trust may enter, which does not constitute a significant transaction.

ANNEX 1 – THE PUBLIC CONSTITUENCIES

(Paragraphs 7.1 and 7.3)

The Public Constituencies are:

Merseyside	(Districts of Knowsley, Liverpool, Sefton, St Helens and Wirral, including all electoral wards in those Districts)
Cheshire	(Unitary authorities of Cheshire East and Cheshire West including all electoral wards in those Districts)
North Wales	(Districts of Conwy, Denbighshire, Flintshire, Gwynedd, Isle of Anglesey and Wrexham, including all electoral wards in those Districts)
Rest of England	Those areas not included in the above.

The minimum number of members of each of the areas of the Public Constituency is to be three.

ANNEX 2 – THE STAFF CONSTITUENCY

(Paragraphs 8.4 and 8.5)

The classes within the Staff Constituency are:

- 1 Registered nurses and non-registered nurses (being health care assistants or their equivalent and student nurses)
- 2 Non-clinical staff
- 3 Clinical staff other than those in 1 and 2 above (allied healthcare professionals, technical and scientific staff)
- 4 Registered medical practitioners

The minimum number of members of each class of the Staff Constituency is to be four.

ANNEX 3 – COMPOSITION OF COUNCIL OF GOVERNORS

(Paragraphs 12.1 to 12.3)

- 1 The aggregate number of Public Governors is to be more than half of the total number of members of the Council of Governors.
- 2 The Council of Governors, subject to the 2006 Act, shall seek to ensure that through the composition of the Council of Governors:
 - 2.1 the interests of the community to whom the trust provides services are appropriately represented;
 - 2.2 the level of representation of the Public Constituency, the classes of the Staff Constituency and the appointing organisations strikes an appropriate balance having regard to their legitimate interest in the trust's affairs.
 - 2.3 The Council of Governors shall at all times maintain a policy for the composition of the Council of Governors which takes account of the membership strategy; and
 - 2.4 shall from time to time and not less than every two years review the policy for the composition of the Council of Governors, and
 - 2.5 when appropriate shall propose amendments to this Constitution.
- 3 The Council of Governors of the trust is to comprise:
 - 3.1 17 Public Governors from the following areas of the Public Constituency:
 - 3.1.1 Merseyside: five Public Governors
 - 3.1.2 Cheshire: three Public Governors
 - 3.1.3 North Wales: three Public Governors
 - 3.1.4 the Rest of England: two Public Governors

Four Staff Governors as described in Annex 2 3.

- 3.2 Eight Appointed Governors, one from each of the following organisations
- 3.2.1 Liverpool City Council;
 - 3.2.2 Sefton Metropolitan Borough Council;
 - 3.2.3 University of Liverpool;
 - 3.2.4 Edge Hill University;
 - 3.2.5 Neurological Alliance;
 - 3.2.6 The Brain Charity;
 - 3.2.8 Cheshire and Merseyside Clinical Network;
 - 3.2.9 Neurotherapy Centre, Chester.

ANNEX 4 –THE MODEL ELECTION RULES

(Paragraph 15.2)

Model Election Rules 2014 For use in elections to FT Councils of Governors

The trust has adopted the Model Election Rules contained in this Annex. It will determine the result of the election using the Single Transferable Vote (STV) method.

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Rejected ballot papers and rejected text voting records
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PART 1: INTERPRETATION

1. Interpretation

1.1 In these rules, unless the context otherwise requires:

“*2006 Act*” means the National Health Service Act 2006;

“*corporation*” means the public benefit corporation subject to this constitution; “*council of governors*” means the council of governors of the corporation; “*declaration of identity*” has the meaning set out in rule 21.1; “*election*” means an election by a constituency, or by a class within a constituency, to fill a vacancy among one or more posts on the council of governors;

“*e-voting*” means voting using either the internet, telephone or text message; “*e-voting information*” has the meaning set out in rule 24.2;

“*ID declaration form*” has the meaning set out in Rule 21.1; “internet voting record” has the meaning set out in rule 26.4(d);

“*internet voting system*” means such computer hardware and software, data other equipment and services as may be provided by the returning officer for the purpose of enabling voters to cast their votes using the internet;

“*lead governor*” means the governor nominated by the corporation to fulfil the role described in Appendix B to The NHS Foundation Trust Code of Governance (December 2013) or any later version of such code.

“*list of eligible voters*” means the list referred to in rule 22.1, containing the information in rule 22.2;

“*method of polling*” means a method of casting a vote in a poll, which may be

by post, internet, text message or telephone;

“

“*numerical voting code*” has the meaning set out in rule 64.2(b) “*polling website*” has the meaning set out in rule 26.1;

“*postal voting information*” has the meaning set out in rule 24.1;

“*telephone short code*” means a short telephone number used for the purposes of submitting a vote by text message;

“*telephone voting facility*” has the meaning set out in rule 26.2;

“*telephone voting record*” has the meaning set out in rule 26.5 (d);

“*text message voting facility*” has the meaning set out in rule 26.3;

“*text voting record*” has the meaning set out in rule 26.6 (d);

“*the telephone voting system*” means such telephone voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by telephone;

“*the text message voting system*” means such text messaging voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by text message;

“*voter ID number*” means a unique, randomly generated numeric identifier allocated to each voter by the Returning Officer for the purpose of e-voting,

“*voting information*” means postal voting information and/or e-voting information

- 1.2 Other expressions used in these rules and in Schedule 7 to the NHS Act 2006 have the same meaning in these rules as in that Schedule.

PART 2: TIMETABLE FOR ELECTIONS

2. Timetable

2.1 The proceedings at an election shall be conducted in accordance with the following timetable:

Proceeding	Time
Publication of notice of election	Not later than the fortieth day before the day of the close of the poll.
Final day for delivery of nomination forms to returning officer	Not later than the twenty eighth day before the day of the close of the poll.
Publication of statement of nominated candidates	Not later than the twenty seventh day before the day of the close of the poll.
Final day for delivery of notices of withdrawals by candidates from election	Not later than twenty fifth day before the day of the close of the poll.
Notice of the poll	Not later than the fifteenth day before the day of the close of the poll.
Close of the poll	By 5.00pm on the final day of the election.

3. Computation of time

3.1 In computing any period of time for the purposes of the timetable:

- (a) a Saturday or Sunday;
- (b) Christmas day, Good Friday, or a bank holiday, or
- (c) a day appointed for public thanksgiving or mourning, shall be disregarded, and any such day shall not be treated as a day for the purpose of any proceedings up to the completion of the poll, nor shall the returning officer be obliged to proceed with the counting of votes on such a day.

3.2 In this rule, “bank holiday” means a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in England and Wales.

PART 3: RETURNING OFFICER

4. Returning Officer

- 4.1 Subject to rule 69, the returning officer for an election is to be appointed by the corporation.
- 4.2 Where two or more elections are to be held concurrently, the same returning officer may be appointed for all those elections.

5. Staff

- 5.1 Subject to rule 69, the returning officer may appoint and pay such staff, including such technical advisers, as they consider necessary for the purposes of the election.

6. Expenditure

- 6.1 The corporation is to pay the returning officer:
 - (a) any expenses incurred by that officer in the exercise of their functions under these rules,
 - (b) such remuneration and other expenses as the corporation may determine.

7. Duty of co-operation

- 7.1 The corporation is to co-operate with the returning officer in the exercise of their functions under these rules.

PART 4: STAGES COMMON TO CONTESTED AND UNCONTESTED ELECTIONS

8. Notice of election

- 8.1 The returning officer is to publish a notice of the election stating:
- (a) the constituency, or class within a constituency, for which the election is being held,
 - (b) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (c) the details of any nomination committee that has been established by the corporation,
 - (d) the address and times at which nomination forms may be obtained;
 - (e) the address for return of nomination forms (including, where the return of nomination forms in an electronic format will be permitted, the e-mail address for such return) and the date and time by which they must be received by the returning officer,
 - (f) the date and time by which any notice of withdrawal must be received by the returning officer
 - (g) the contact details of the returning officer
 - (h) the date and time of the close of the poll in the event of a contest.

9. Nomination of candidates

- 9.1 Subject to rule 9.2, each candidate must nominate themselves on a single nomination form.
- 9.2 The returning officer:
- (a) is to supply any member of the corporation with a nomination form, and
 - (b) is to prepare a nomination form for signature at the request of any member of the corporation, but it is not necessary for a nomination to be on a form supplied by the returning officer and a nomination can, subject to rule 13, be in an electronic format.

10. Candidate's particulars

- 10.1 The nomination form must state the candidate's:
- (a) full name,

- (b) contact address in full (which should be a postal address although an e-mail address may also be provided for the purposes of electronic communication), and
- (c) constituency, or class within a constituency, of which the candidate is a member.

11. Declaration of interests

- 11.1 The nomination form must state:
- (a) any financial interest that the candidate has in the corporation, and
 - (b) whether the candidate is a member of a political party, and if so, which party, and if the candidate has no such interests, the paper must include a statement to that effect.

12. Declaration of eligibility

- 12.1 The nomination form must include a declaration made by the candidate:
- (a) that they are not prevented from being a member of the council of governors by paragraph 8 of Schedule 7 of the 2006 Act or by any provision of the constitution; and,
 - (b) for a member of the public or patient constituency, of the particulars of their qualification to vote as a member of that constituency, or class within that constituency, for which the election is being held.

13. Signature of candidate

- 13.1 The nomination form must be signed and dated by the candidate, in a manner prescribed by the returning officer, indicating that:
- (a) they wish to stand as a candidate,
 - (b) their declaration of interests as required under rule 11, is true and correct, and
 - (c) their declaration of eligibility, as required under rule 12, is true and correct.
- 13.2 Where the return of nomination forms in an electronic format is permitted, the returning officer shall specify the particular signature formalities (if any) that will need to be complied with by the candidate.

14. Decisions as to the validity of nomination

- 14.1 Where a nomination form is received by the returning officer in accordance with these rules, the candidate is deemed to stand for election unless and until the returning officer:
- (a) decides that the candidate is not eligible to stand,
 - (b) decides that the nomination form is invalid,

- (c) receives satisfactory proof that the candidate has died, or
- (d) receives a written request by the candidate of their withdrawal from candidacy.

14.2 The returning officer is entitled to decide that a nomination form is invalid only on one of the following grounds:

- (a) that the paper is not received on or before the final time and date for return of nomination forms, as specified in the notice of the election,
- (b) that the paper does not contain the candidate's particulars, as required by rule 10;
- (c) that the paper does not contain a declaration of the interests of the candidate, as required by rule 11,
- (d) that the paper does not include a declaration of eligibility as required by rule 12, or
- (e) that the paper is not signed and dated by the candidate, if required by rule 13.

14.3 The returning officer is to examine each nomination form as soon as is practicable after they have received it and decide whether the candidate has been validly nominated.

14.4 Where the returning officer decides that a nomination is invalid, the returning officer must endorse this on the nomination form, stating the reasons for their decision.

14.5 The returning officer is to send notice of the decision as to whether a nomination is valid or invalid to the candidate at the contact address given in the candidate's nomination form. If an e-mail address has been given in the candidate's nomination form (in addition to the candidate's postal address), the returning officer may send notice of the decision to that address.

15. Publication of statement of candidates

15.1 The returning officer is to prepare and publish a statement showing the candidates who are standing for election.

15.2 The statement must show:

- (a) the name, contact address (which shall be the candidate's postal address), and constituency or class within a constituency of each candidate standing, and
- (b) the declared interests of each candidate standing, as given in their nomination form.

- 15.3 The statement must list the candidates standing for election in alphabetical order by surname.
- 15.4 The returning officer must send a copy of the statement of candidates and copies of the nomination forms to the corporation as soon as is practicable after publishing the statement.
- 16. Inspection of statement of nominated candidates and nomination forms**
- 16.1 The corporation is to make the statement of the candidates and the nomination forms supplied by the returning officer under rule 15.4 available for inspection by members of the corporation free of charge at all reasonable times.
- 16.2 If a member of the corporation requests a copy or extract of the statement of candidates or their nomination forms, the corporation is to provide that member with the copy or extract free of charge.
- 17. Withdrawal of candidates**
- 17.1 A candidate may withdraw from election on or before the date and time for withdrawal by candidates, by providing to the returning officer a written notice of withdrawal which is signed by the candidate and attested by a witness.
- 18. Method of election**
- 18.1 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is greater than the number of members to be elected to the council of governors, a poll is to be taken in accordance with Parts 5 and 6 of these rules.
- 18.2 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is equal to the number of members to be elected to the council of governors, those candidates are to be declared elected in accordance with Part 7 of these rules.
- 18.3 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is less than the number of members to be elected to be council of governors, then:

- (a) the candidates who remain validly nominated are to be declared elected in accordance with Part 7 of these rules, and
- (b) the returning officer is to order a new election to fill any vacancy which remains unfilled, on a day appointed by him them in consultation with the corporation.

PART 5: CONTESTED ELECTIONS

19. Poll to be taken by ballot

- 19.1 The votes at the poll must be given by secret ballot.
- 19.2 The votes are to be counted and the result of the poll determined in accordance with Part 6 of these rules.
- 19.3 The corporation may decide that voters within a constituency or class within a constituency, may, subject to rule 19.4, cast their votes at the poll using such different methods of polling in any combination as the corporation may determine.
- 19.4 The corporation may decide that voters within a constituency or class within a constituency for whom an e-mail address is included in the list of eligible voters may only cast their votes at the poll using an e-voting method of polling.
- 19.5 Before the corporation decides, in accordance with rule 19.3 that one or more e-voting methods of polling will be made available for the purposes of the poll, the corporation must satisfy itself that:
- (a) if internet voting is to be a method of polling, the internet voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate internet voting record in respect of any voter who casts their vote using the internet voting system;
 - (b) if telephone voting to be a method of polling, the telephone voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate telephone voting record in respect of any voter who casts their vote using the telephone voting system;

- (c) if text message voting is to be a method of polling, the text message voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate text voting record in respect of any voter who casts their vote using the text message voting system.

20. The ballot paper

- 20.1 The ballot of each voter (other than a voter who casts their ballot by an e-voting method of polling) is to consist of a ballot paper with the persons remaining validly nominated for an election after any withdrawals under these rules, and no others, inserted in the paper.
- 20.2 Every ballot paper must specify:
 - (a) the name of the corporation,
 - (b) the constituency, or class within a constituency, for which the election is being held,
 - (c) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (d) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
 - (e) instructions on how to vote by all available methods of polling, including the relevant voter's voter ID number if one or more e-voting methods of polling are available,
 - (f) if the ballot paper is to be returned by post, the address for its return and the date and time of the close of the poll, and
 - (g) the contact details of the returning officer.
- 20.3 Each ballot paper must have a unique identifier.
- 20.4 Each ballot paper must have features incorporated into it to prevent it from being reproduced.

21. The declaration of identity (public and patient constituencies)

- 21.1 The corporation shall require each voter who participates in an election for a public or patient constituency to make a declaration confirming:
 - (a) that the voter is the person:
 - (i) to whom the ballot paper was addressed, and/or
 - (ii) to whom the voter ID number contained within the e-voting information was allocated,

- (b) that they have not marked or returned any other voting information in the election, and
- (c) the particulars of their qualification to vote as a member of the constituency or class within the constituency for which the election is being held,

("declaration of identity")

and the corporation shall make such arrangements as it considers appropriate to facilitate the making and the return of a declaration of identity by each voter, whether by the completion of a paper form ("ID declaration form") or the use of an electronic method.

- 21.2 The voter must be required to return their declaration of identity with their ballot.
- 21.3 The voting information shall caution the voter that if the declaration of identity is not duly returned or is returned without having been made correctly, any vote cast by the voter may be declared invalid.

Action to be taken before the poll

22. List of eligible voters

- 22.1 The corporation is to provide the returning officer with a list of the members of the constituency or class within a constituency for which the election is being held who are eligible to vote by virtue of rule 27 as soon as is reasonably practicable after the final date for the delivery of notices of withdrawals by candidates from an election.
- 22.2 The list is to include, for each member:
 - (a) a postal address; and,
 - (b) the member's e-mail address, if this has been provided to which their voting information may, subject to rule 22.3, be sent.
- 22.3 The corporation may decide that the e-voting information is to be sent only by e-mail to those members in the list of eligible voters for whom an e-mail address is included in that list.

23. Notice of poll

- 23.1 The returning officer is to publish a notice of the poll stating:
 - (a) the name of the corporation,

- (b) the constituency, or class within a constituency, for which the election is being held,
- (c) the number of members of the council of governors to be elected from that constituency, or class with that constituency,
- (d) the names, contact addresses, and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
- (e) that the ballot papers for the election are to be issued and returned, if appropriate, by post,
- (f) the methods of polling by which votes may be cast at the election by voters in a constituency or class within a constituency, as determined by the corporation in accordance with rule 19.3,
- (g) the address for return of the ballot papers,
- (h) the uniform resource locator (url) where, if internet voting is a method of polling, the polling website is located;
- (i) the telephone number where, if telephone voting is a method of polling, the telephone voting facility is located,
- (j) the telephone number or telephone short code where, if text message voting is a method of polling, the text message voting facility is located,
- (k) the date and time of the close of the poll,
- (l) the address and final dates for applications for replacement voting information, and
- (m) the contact details of the returning officer.

24. Issue of voting information by returning officer

- 24.1 Subject to rule 24.3, as soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following information by post to each member of the corporation named in the list of eligible voters:
- (a) a ballot paper and ballot paper envelope,
 - (b) the ID declaration form (if required),
 - (c) information about each candidate standing for election, pursuant to rule 61 of these rules, and
 - (d) a covering envelope;
- ("postal voting information").
- 24.2 Subject to rules 24.3 and 24.4, as soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following information by e-mail and/ or by post to each member of the corporation named in the list of eligible voters whom the corporation

determines in accordance with rule 19.3 and/ or rule 19.4 may cast their vote by an e- voting method of polling:

- (a) instructions on how to vote and how to make a declaration of identity (if required),
- (b) the voter's voter ID number,
- (c) information about each candidate standing for election, pursuant to rule 64 of these rules, or details of where this information is readily available on the internet or available in such other formats as the Returning Officer thinks appropriate, (d) contact details of the returning officer,

("e-voting information").

24.3 The corporation may determine that any member of the corporation shall:

- (a) only be sent postal voting information; or
- (b) only be sent e-voting information; or
- (c) be sent both postal voting information and e-voting information;

for the purposes of the poll.

24.4 If the corporation determines, in accordance with rule 22.3, that the e-voting information is to be sent only by e-mail to those members in the list of eligible voters for whom an e-mail address is included in that list, then the returning officer shall only send that information by e-mail.

24.5 The voting information is to be sent to the postal address and/ or e-mail address for each member, as specified in the list of eligible voters.

25. Ballot paper envelope and covering envelope

25.1 The ballot paper envelope must have clear instructions to the voter printed on it, instructing the voter to seal the ballot paper inside the envelope once the ballot paper has been marked.

25.2 The covering envelope is to have:

- (a) the address for return of the ballot paper printed on it, and
- (b) pre-paid postage for return to that address.

25.3 There should be clear instructions, either printed on the covering envelope or elsewhere, instructing the voter to seal the following documents inside the covering envelope and return it to the returning officer –

- (a) the completed ID declaration form if required, and
- (b) the ballot paper envelope, with the ballot paper sealed inside it.

26. E-voting systems

- 26.1 If internet voting is a method of polling for the relevant election then the returning officer must provide a website for the purpose of voting over the internet (in these rules referred to as "the polling website").
- 26.2 If telephone voting is a method of polling for the relevant election then the returning officer must provide an automated telephone system for the purpose of voting by the use of a touch-tone telephone (in these rules referred to as "the telephone voting facility").
- 26.3 If text message voting is a method of polling for the relevant election then the returning officer must provide an automated text messaging system for the purpose of voting by text message (in these rules referred to as "the text message voting facility").
- 26.4 The returning officer shall ensure that the polling website and internet voting system provided will:
- (a) require a voter to:
 - (i) enter their voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;
 in order to be able to cast their vote;
 - (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (iv) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
 - (v) instructions on how to vote and how to make declarations of identity,
 - (vi) the date and time of the close of the poll, and
 - (vii) the contact details of the returning officer;
 - (c) prevent a voter from voting for more candidates than they are entitled to at the election;

- (d) create a record ("internet voting record") that is stored in the internet voting system in respect of each vote cast by a voter using the internet that comprises of-
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (iii) the candidate or candidates for whom the voter has voted;
 - and
 - (iv) the date and time of the voter's vote,
- (e) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this; and
- (f) prevent any voter from voting after the close of poll.

26.5 The returning officer shall ensure that the telephone voting facility and telephone voting system provided will:

- (a) require a voter to:
 - (i) enter their voter ID number in order to be able to cast their vote; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;
- (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (iv) instructions on how to vote and how to make a declaration of identity,
 - (v) the date and time of the close of the poll, and
 - (vi) the contact details of the returning officer;
- (c) prevent a voter from voting for more candidates than they are entitled to at the election;
- (d) create a record ("telephone voting record") that is stored in the telephone voting system in respect of each vote cast by a voter using the telephone that comprises of:
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (iii) the candidate or candidates for whom the voter has voted;
 - and
 - (iv) the date and time of the voter's vote
- (e) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this;

(f) prevent any voter from voting after the close of poll.

26.6 The returning officer shall ensure that the text message voting facility and text messaging voting system provided will:

- (a) require a voter to:
 - (i) provide their voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;
 - in order to be able to cast their vote;
- (b) prevent a voter from voting for more candidates than they are entitled to at the election;
- (c) create a record ("text voting record") that is stored in the text messaging voting system in respect of each vote cast by a voter by text message that comprises of:
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (ii) the candidate or candidates for whom the voter has voted;
 - and
 - (iii) the date and time of the voter's vote
- (d) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this;
- (e) prevent any voter from voting after the close of poll.

The poll

27. Eligibility to vote

27.1 An individual who becomes a member of the corporation on or before the closing date for the receipt of nominations by candidates for the election, is eligible to vote in that election.

28. Voting by persons who require assistance

28.1 The returning officer is to put in place arrangements to enable requests for assistance to vote to be made.

28.2 Where the returning officer receives a request from a voter who requires assistance to vote, the returning officer is to make such arrangements as he considers necessary to enable that voter to vote.

29. Spoilt ballot papers and spoilt text message votes

- 29.1 If a voter has dealt with their ballot paper in such a manner that it cannot be accepted as a ballot paper (referred to as a “spoilt ballot paper”), that voter may apply to the returning officer for a replacement ballot paper.
- 29.2 On receiving an application, the returning officer is to obtain the details of the unique identifier on the spoilt ballot paper, if they can obtain it.
- 29.3 The returning officer may not issue a replacement ballot paper for a spoilt ballot paper unless they:
- (a) are satisfied as to the voter’s identity; and
 - (b) have ensured that the completed ID declaration form, if required, has not been returned.
- 29.4 After issuing a replacement ballot paper for a spoilt ballot paper, the returning officer shall enter in a list (“the list of spoilt ballot papers”):
- (a) the name of the voter, and
 - (b) the details of the unique identifier of the spoilt ballot paper (if that officer was able to obtain it);
and
 - (c) the details of the unique identifier of the replacement ballot paper.
- 29.5 If a voter has dealt with his or her text message vote in such a manner that it cannot be accepted as a vote (referred to as a “spoilt text message vote”), that voter may apply to the returning officer for a replacement voter ID number.
- 29.6 On receiving an application, the returning officer is to obtain the details of the voter ID number on the spoilt text message vote, if they can obtain it.
- 29.7 The returning officer may not issue a replacement voter ID number in respect of a spoilt text message vote unless they are satisfied as to the voter’s identity.
- 29.8 After issuing a replacement voter ID number in respect of a spoilt text message vote, the returning officer shall enter in a list (“the list of spoilt text message votes”):
- (a) the name of the voter; and
 - (b) the details of the voter ID number on the spoilt text message vote (if that officer was able to obtain it); and
 - (c) the details of the replacement voter ID number issued to the voter.

30. Lost voting information

- 30.1 Where a voter has not received their voting information by the tenth day before the close of the poll, that voter may apply to the returning officer for replacement voting information.
- 30.2 The returning officer may not issue replacement voting information in respect of lost voting information unless they:
- (a) are satisfied as to the voter's identity,
 - (b) have no reason to doubt that the voter did not receive the original voting information,
 - (c) have ensured that no declaration of identity, if required, has been returned.
- 30.3 After issuing replacement voting information in respect of lost voting information, the returning officer shall enter in a list ("the list of lost ballot documents"):
- (a) the name of the voter
 - (b) the details of the unique identifier of the replacement ballot paper, if applicable, and
 - (c) the voter ID number of the voter.

31. Issue of replacement voting information

- 31.1 If a person applies for replacement voting information under rule 29 or 30 and a declaration of identity has already been received by the returning officer in the information unless, in addition to the requirements imposed by rule 29.3 or
- 31.2 After issuing replacement voting information under this rule, the returning officer shall enter in a list ("the list of tendered voting information"):
- (a) the name of the voter,
 - (b) the unique identifier of any replacement ballot paper issued under this rule;
 - (c) the voter ID number of the voter.

32. ID declaration form for replacement ballot papers (public and patient constituencies)

- 32.1 In respect of an election for a public or patient constituency an ID declaration form must be issued with each replacement ballot paper requiring the voter to make a declaration of identity.

Polling by internet, telephone or text**33. Procedure for remote voting by internet**

- 33.1 To cast their vote using the internet, a voter will need to gain access to the polling website by keying in the url of the polling website provided in the voting information.
- 33.2 When prompted to do so, the voter will need to enter their voter ID number.
- 33.3 If the internet voting system authenticates the voter ID number, the system will give the voter access to the polling website for the election in which the voter is eligible to vote.
- 33.4 To cast their vote, the voter will need to key in a mark on the screen opposite the particulars of the candidate or candidates for whom they wishes to cast their vote.
- 33.5 The voter will not be able to access the internet voting system for an election once their vote at that election has been cast.

34. Voting procedure for remote voting by telephone

- 34.1 To cast their vote by telephone, the voter will need to gain access to the telephone voting facility by calling the designated telephone number provided in the voter information using a telephone with a touch-tone keypad.
- 34.2 When prompted to do so, the voter will need to enter their voter ID number using the keypad.
- 34.3 If the telephone voting facility authenticates the voter ID number, the voter will be prompted to vote in the election.

34.4 When prompted to do so the voter may then cast their vote by keying in the numerical voting code of the candidate or candidates, for whom they wish to vote.

34.5 The voter will not be able to access the telephone voting facility for an election once their vote at that election has been cast.

35. Voting procedure for remote voting by text message

35.1 To cast their vote by text message the voter will need to gain access to the text message voting facility by sending a text message to the designated telephone number or telephone short code provided in the voter information.

35.2 The text message sent by the voter must contain their voter ID number and the numerical voting code for the candidate or candidates, for whom they wish to vote.

35.3 The text message sent by the voter will need to be structured in accordance with the instructions on how to vote contained in the voter information, otherwise the vote will not be cast.

Procedure for receipt of envelopes, internet votes, telephone votes and text message votes

36. Receipt of voting documents

36.1 Where the returning officer receives:

- (a) a covering envelope, or
- (b) any other envelope containing an ID declaration form if required, a ballot paper envelope, or a ballot paper, before the close of the poll, that officer is to open it as soon as is practicable; and rules 37 and 38 are to apply.

36.2 The returning officer may open any covering envelope or any ballot paper envelope for the purposes of rules 37 and 38, but must make arrangements to ensure that no person obtains or communicates information as to:

- (a) the candidate for whom a voter has voted, or
- (b) the unique identifier on a ballot paper.

36.3 The returning officer must make arrangements to ensure the safety and security of the ballot papers and other documents.

37. Validity of votes

- 37.1 A ballot paper shall not be taken to be duly returned unless the returning officer is satisfied that it has been received by the returning officer before the close of the poll, with an ID declaration form if required that has been correctly completed, signed and dated.
- 37.2 Where the returning officer is satisfied that rule 37.1 has been fulfilled, they are to:
- (a) put the ID declaration form if required in a separate packet, and
 - (b) put the ballot paper aside for counting after the close of the poll.
- 37.3 Where the returning officer is not satisfied that rule 37.1 has been fulfilled, they are to:
- (a) mark the ballot paper “disqualified”,
 - (b) if there is an ID declaration form accompanying the ballot paper, mark it “disqualified” and attach it to the ballot paper,
 - (c) record the unique identifier on the ballot paper in a list of disqualified documents (the “list of disqualified documents”); and
 - (d) place the document or documents in a separate packet.
- 37.4 An internet, telephone or text message vote shall not be taken to be duly returned unless the returning officer is satisfied that the internet voting record, telephone voting record or text voting record (as applicable) has been received by the returning officer before the close of the poll, with a declaration of identity if required that has been correctly made.
- 37.5 Where the returning officer is satisfied that rule 37.4 has been fulfilled, they are to put the internet voting record, telephone voting record or text voting record (as applicable) aside for counting after the close of the poll.
- 37.6 Where the returning officer is not satisfied that rule 37.4 has been fulfilled, they are to:
- (a) mark the internet voting record, telephone voting record or text voting record (as applicable) “disqualified”,
 - (b) record the voter ID number on the internet voting record, telephone voting record or text voting record (as applicable) in the list of disqualified documents; and

- (c) place the document or documents in a separate packet.

38. Declaration of identity but no ballot paper (public and patient constituency)¹

38.1 Where the returning officer receives an ID declaration form if required but no ballot paper, the returning officer is to:

- (a) mark the ID declaration form “disqualified”,
- (b) record the name of the voter in the list of disqualified documents, indicating that a declaration of identity was received from the voter without a ballot paper, and
- (c) place the ID declaration form in a separate packet.

39. De-duplication of votes

39.1 Where different methods of polling are being used in an election, the returning officer shall examine all votes cast to ascertain if a voter ID number has been used more than once to cast a vote in the election.

39.2 If the returning officer ascertains that a voter ID number has been used more than once to cast a vote in the election they shall:

- (a) only accept as duly returned the first vote received that was cast using the relevant voter ID number; and
- (b) mark as “disqualified” all other votes that were cast using the relevant voter ID number

39.3 Where a ballot paper is disqualified under this rule the returning officer shall:

- (a) mark the ballot paper “disqualified”,
- (b) if there is an ID declaration form accompanying the ballot paper, mark it “disqualified” and attach it to the ballot paper,
- (c) record the unique identifier and the voter ID number on the ballot paper in the list of disqualified documents;
- (d) place the document or documents in a separate packet; and
- (e) disregard the ballot paper when counting the votes in accordance with these rules.

¹ It should not be possible, technically, to make a declaration of identity electronically without also submitting a vote.

- 39.4 Where an internet voting record, telephone voting record or text voting record is disqualified under this rule the returning officer shall:
- (a) mark the internet voting record, telephone voting record or text voting record (as applicable) “disqualified”,
 - (b) record the voter ID number on the internet voting record, telephone voting record or text voting record (as applicable) in the list of disqualified documents;
 - (c) place the internet voting record, telephone voting record or text voting record (as applicable) in a separate packet, and
 - (d) disregard the internet voting record, telephone voting record or text voting record (as applicable) when counting the votes in accordance with these rules.

40. Sealing of packets

40.1 As soon as is possible after the close of the poll and after the completion of the procedure under rules 37 and 38, the returning officer is to seal the packets containing:

- (a) the disqualified documents, together with the list of disqualified documents inside it,
- (b) the ID declaration forms, if required,
- (c) the list of spoiled ballot papers and the list of spoiled text message votes, (d) the list of lost ballot documents,
- (e) the list of eligible voters, and
- (f) the list of tendered voting information

and ensure that complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.

STV41. Interpretation of Part 6

STV41.1 In Part 6 of these rules:

“*ballot document*” means a ballot paper, internet voting record, telephone voting record or text voting record.

“*continuing candidate*” means any candidate not deemed to be elected, and not excluded,

“*count*” means all the operations involved in counting of the first preferences recorded for candidates, the transfer of the surpluses of elected candidates, and the transfer of the votes of the excluded candidates, “*deemed to be elected*” means deemed to be elected for the purposes of counting of votes but without prejudice to the declaration of the result of the poll,

“*mark*” means a figure, an identifiable written word, or a mark such as “X”, “*non-transferable vote*” means a ballot document:

- (a) on which no second or subsequent preference is recorded for a continuing candidate, or
- (b) which is excluded by the returning officer under rule STV49,

“*preference*” as used in the following contexts has the meaning assigned below:

- (a) “first preference” means the figure “1” or any mark or word which clearly indicates a first (or only) preference,
- (b) “next available preference” means a preference which is the second, or as the case may be, subsequent preference recorded in consecutive order for a continuing candidate (any candidate who is deemed to be elected or is excluded thereby being ignored); and
- (c) in this context, a “second preference” is shown by the figure “2” or any mark or word which clearly indicates a second preference, and a third preference by the figure “3” or any mark or word which clearly indicates a third preference, and so on,

“*quota*” means the number calculated in accordance with rule STV46,

“*surplus*” means the number of votes by which the total number of votes for any candidate (whether first preference or transferred

votes, or a combination of both) exceeds the quota; but references in these rules to the transfer of the surplus means the transfer (at a transfer value) of all transferable ballot documents from the candidate who has the surplus,
 “*stage of the count*” means:

- (a) the determination of the first preference vote of each candidate,
- (b) the transfer of a surplus of a candidate deemed to be elected, or
- (c) the exclusion of one or more candidates at any given time,

“*transferable vote*” means a ballot document on which, following a first preference, a second or subsequent preference is recorded in consecutive numerical order for a continuing candidate,

“*transferred vote*” means a vote derived from a ballot document on which a second or subsequent preference is recorded for the candidate to whom that ballot document has been transferred, and

“*transfer value*” means the value of a transferred vote calculated in accordance with rules STV47.4 or STV47.7.

42. Arrangements for counting of the votes

- 42.1 The returning officer is to make arrangements for counting the votes as soon as is practicable after the close of the poll.
- 42.2 The returning officer may make arrangements for any votes to be counted using vote counting software where:
 - (a) the board of directors and the council of governors of the corporation have approved:
 - (i) the use of such software for the purpose of counting votes in the relevant election, and
 - (ii) a policy governing the use of such software, and
 - (b) the corporation and the returning officer are satisfied that the use of such software will produce an accurate result.

43. The count

- 43.1 The returning officer is to:
 - (a) count and record the number of:
 - (iii) ballot papers that have been returned; and

- (iv) the number of internet voting records, telephone voting records and/or text voting records that have been created, and
- (b) count the votes according to the provisions in this Part of the rules and/or the provisions of any policy approved pursuant to rule 42.2(ii) where vote counting software is being used.

43.2 The returning officer, while counting and recording the number of ballot papers, internet voting records, telephone voting records and/or text voting records and counting the votes, must make arrangements to ensure that no person obtains or communicates information as to the unique identifier on a ballot paper or the voter ID number on an internet voting record, telephone voting record or text voting record.

43.3 The returning officer is to proceed continuously with counting the votes as far as is practicable.

STV44. Rejected ballot papers and rejected text voting records

STV44.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
- (b) on which the figure “1” standing alone is not placed so as to indicate a first preference for any candidate,
- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (d) which is unmarked or rejected because of uncertainty,

shall be rejected and not counted, but the ballot paper shall not be rejected by reason only of carrying the words “one”, “two”, “three” and so on, or any other mark instead of a figure if, in the opinion of the returning officer, the word or mark clearly indicates a preference or preferences.

STV44.2 The returning officer is to endorse the word “rejected” on any ballot paper which under this rule is not to be counted. STV44.3 Any text voting record:

- (a) on which the figure “1” standing alone is not placed so as to indicate a first preference for any candidate,
- (b) on which anything is written or marked by which the voter can be identified except the unique identifier, or

- (c) which is unmarked or rejected because of uncertainty,

shall be rejected and not counted, but the text voting record shall not be rejected by reason only of carrying the words “one”, “two”, “three” and so on, or any other mark instead of a figure if, in the opinion of the returning officer, the word or mark clearly indicates a preference or preferences.

STV44.4 The returning officer is to endorse the word “rejected” on any text voting record which under this rule is not to be counted.

STV44.5 The returning officer is to draw up a statement showing the number of ballot papers rejected by them under each of the subparagraphs (a) to (d) of rule STV44.1 and the number of text voting records rejected by them under each of the sub-paragraphs (a) to (c) of rule STV44.3.

FPP44. Rejected ballot papers and rejected text voting records

FPP44.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
- (b) on which votes are given for more candidates than the voter is entitled to vote,
- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (d) which is unmarked or rejected because of uncertainty,

shall, subject to rules FPP44.2 and FPP44.3, be rejected and not counted. FPP44.2 Where the voter is entitled to vote for more than one candidate, a ballot paper is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.

FPP44.3 A ballot paper on which a vote is marked:

- (a) elsewhere than in the proper place,
- (b) otherwise than by means of a clear mark, (c) by more than one mark, is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the candidates clearly appears, and the way the paper is marked does not itself identify the voter and it is not shown that he can be identified by it.

- FPP44.4 The returning officer is to:
- (a) endorse the word “rejected” on any ballot paper which under this rule is not to be counted, and
 - (b) in the case of a ballot paper on which any vote is counted under rules FPP44.2 and FPP 44.3, endorse the words “rejected in part” on the ballot paper and indicate which vote or votes have been counted.
- FPP44.5 The returning officer is to draw up a statement showing the number of rejected ballot papers under the following headings:
- (a) does not bear proper features that have been incorporated into the ballot paper,
 - (b) voting for more candidates than the voter is entitled to,
 - (c) writing or mark by which voter could be identified, and
 - (d) unmarked or rejected because of uncertainty,
- and, where applicable, each heading must record the number of ballot papers rejected in part.
- FPP44.6 Any text voting record:
- (a) on which votes are given for more candidates than the voter is entitled to vote,
 - (b) on which anything is written or marked by which the voter can be identified except the voter ID number, or
 - (c) which is unmarked or rejected because of uncertainty,
- shall, subject to rules FPP44.7 and FPP44.8, be rejected and not counted.
- FPP44.7 Where the voter is entitled to vote for more than one candidate, a text voting record is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.
- FPP44.8 A text voting record on which a vote is marked:
- (a) otherwise than by means of a clear mark,
 - (b) by more than one mark,
- is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the

candidates clearly appears, and the way the text voting record is marked does not itself identify the voter and it is not shown that they can be identified by it.

- FPP44.9 The returning officer is to:
- (a) endorse the word “rejected” on any text voting record which under this rule is not to be counted, and
 - (b) in the case of a text voting record on which any vote is counted under rules FPP44.7 and FPP 44.8, endorse the words “rejected in part” on the text voting record and indicate which vote or votes have been counted.
- FPP44.10 The returning officer is to draw up a statement showing the number of rejected text voting records under the following headings:
- (a) voting for more candidates than the voter is entitled to,
 - (b) writing or mark by which voter could be identified, and (c) unmarked or rejected because of uncertainty, and, where applicable, each heading must record the number of text voting records rejected in part.

STV45. First stage

- STV45.1 The returning officer is to sort the ballot documents into parcels according to the candidates for whom the first preference votes are given.
- STV45.2 The returning officer is to then count the number of first preference votes given on ballot documents for each candidate and is to record those numbers.
- STV45.3 The returning officer is to also ascertain and record the number of valid ballot documents.

STV46. The quota

- STV46.1 The returning officer is to divide the number of valid ballot documents by a number exceeding by one the number of members to be elected.
- STV46.2 The result, increased by one, of the division under rule STV46.1 (any fraction being disregarded) shall be the number of votes

sufficient to secure the election of a candidate (in these rules referred to as “the quota”).

STV46.3 At any stage of the count a candidate whose total votes equals or exceeds the quota shall be deemed to be elected, except that any election where there is only one vacancy a candidate shall not be deemed to be elected until the procedure set out in rules STV47.1 to STV47.3 has been complied with.

STV47. Transfer of votes

STV47.1 Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballot documents on which first preference votes are given for that candidate into sub- parcels so that they are grouped:

- (a) according to next available preference given on those ballot documents for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV47.2 The returning officer is to count the number of ballot documents in each parcel referred to in rule STV47.1.

STV47.3 The returning officer is, in accordance with this rule and rule STV48, to transfer each sub-parcel of ballot documents referred to in rule STV47.1(a) to the candidate for whom the next available preference is given on those ballot documents.

STV47.4 The vote on each ballot document transferred under rule STV47.3 shall be at a value (“the transfer value”) which:

- (a) reduces the value of each vote transferred so that the total value of all such votes does not exceed the surplus, and
- (b) is calculated by dividing the surplus of the candidate from whom the votes are being transferred by the total number of the ballot documents on which those votes are given, the calculation being made to two decimal places (ignoring the remainder if any).

STV47.5 Where at the end of any stage of the count involving the transfer of ballot documents, the number of votes for any candidate exceeds the quota, the returning officer is to sort the ballot documents in the

sub-parcel of transferred votes which was last received by that candidate into separate sub-parcels so that they are grouped:

- (a) according to the next available preference given on those ballot documents for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV47.6 The returning officer is, in accordance with this rule and rule STV48, to transfer each sub-parcel of ballot documents referred to in rule STV47.5(a) to the candidate for whom the next available preference is given on those ballot documents.

STV47.7 The vote on each ballot document transferred under rule STV47.6 shall be at:

- (a) a transfer value calculated as set out in rule STV47.4(b), or
- (b) at the value at which that vote was received by the candidate from whom it is now being transferred, whichever is the less.

STV47.8 Each transfer of a surplus constitutes a stage in the count.

STV47.9 Subject to rule STV47.10, the returning officer shall proceed to transfer transferable ballot documents until no candidate who is deemed to be elected has a surplus or all the vacancies have been filled.

STV47.10 Transferable ballot documents shall not be liable to be transferred where any surplus or surpluses which, at a particular stage of the count, have not already been transferred, are:

- (a) less than the difference between the total vote then credited to the continuing candidate with the lowest recorded vote and the vote of the candidate with the next lowest recorded vote, or
- (b) less than the difference between the total votes of the two or more continuing candidates, credited at that stage of the count with the lowest recorded total numbers of votes and the candidate next above such candidates.

STV47.11 This rule does not apply at an election where there is only one vacancy.

STV48. Supplementary provisions on transfer

STV48.1 If, at any stage of the count, two or more candidates have surpluses, the transferable ballot documents of the candidate with the highest surplus shall be transferred first, and if:

- (a) The surpluses determined in respect of two or more candidates are equal, the transferable ballot documents of the candidate who had the highest recorded vote at the earliest preceding stage at which they had unequal votes shall be transferred first, and
- (b) the votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between those candidates by lot, and the transferable ballot documents of the candidate on whom the lot falls shall be transferred first.

STV48.2 The returning officer shall, on each transfer of transferable ballot documents under rule STV47:

- (a) record the total value of the votes transferred to each candidate,
- (b) add that value to the previous total of votes recorded for each candidate and record the new total,
- (c) record as non-transferable votes the difference between the surplus and the total transfer value of the transferred votes and add that difference to the previously recorded total of non-transferable votes, and
- (d) compare:
 - (i) the total number of votes then recorded for all of the candidates, together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.

STV48.3 All ballot documents transferred under rule STV47 or STV49 shall be clearly marked, either individually or as a sub-parcel, so as to indicate the transfer value recorded at that time to each vote on that ballot document or, as the case may be, all the ballot documents in that sub-parcel.

STV48.4 Where a ballot document is so marked that it is unclear to the returning officer at any stage of the count under rule STV47 or STV49 for which candidate the next preference is recorded, the

returning officer shall treat any vote on that ballot document as a non-transferable vote; and votes on a ballot document shall be so treated where, for example, the names of two or more candidates (whether continuing candidates or not) are so marked that, in the opinion of the returning officer, the same order of preference is indicated or the numerical sequence is broken.

STV49. Exclusion of candidates

- STV49.1 If:
- (a) all transferable ballot documents which under the provisions of rule STV47 (including that rule as applied by rule STV49.11) and this rule are required to be transferred, have been transferred, and
 - (b) subject to rule STV50, one or more vacancies remain to be filled, the returning officer shall exclude from the election at that stage the candidate with the then lowest vote (or, where rule STV49.12 applies, the candidates with the then lowest votes).
- STV49.2 The returning officer shall sort all the ballot documents on which first preference votes are given for the candidate or candidates excluded under rule STV49.1 into two sub-parcels so that they are grouped as:
- (a) ballot documents on which a next available preference is given, and
 - (b) ballot documents on which no such preference is given (thereby including ballot documents on which preferences are given only for candidates who are deemed to be elected or are excluded).
- STV49.3 The returning officer shall, in accordance with this rule and rule STV48, transfer each sub-parcel of ballot documents referred to in rule STV49.2 to the candidate for whom the next available preference is given on those ballot documents.
- STV49.4 The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.
- STV49.5 If, subject to rule STV50, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable ballot documents, if any, which had been transferred to any candidate

excluded under rule STV49.1 into sub- parcels according to their transfer value.

- STV49.6 The returning officer shall transfer those ballot documents in the sub-parcel of transferable ballot documents with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those ballot documents (thereby passing over candidates who are deemed to be elected or are excluded).
- STV49.7 The vote on each transferable ballot document transferred under rule STV49.6 shall be at the value at which that vote was received by the candidate excluded under rule STV49.1.
- STV9.8 Any ballot documents on which no next available preferences have been expressed shall be set aside as non-transferable votes.
- STV49.9 After the returning officer has completed the transfer of the ballot documents in the sub-parcel of ballot documents with the highest transfer value, they shall proceed to transfer in the same way the sub-parcel of ballot documents with the next highest value and so on until they have dealt with each sub-parcel of a candidate excluded under rule STV49.1.
- STV49.10 The returning officer shall after each stage of the count completed under this rule:
- (a) record:
 - (i) the total value of votes, or
 - (ii) the total transfer value of votes transferred to each candidate,
 - (b) add that total to the previous total of votes recorded for each candidate and record the new total,
 - (c) record the value of non-transferable votes and add that value to the previous non-transferable votes total, and
 - (d) compare:
 - (i) the total number of votes then recorded for each candidate together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.
- STV49.11 If after a transfer of votes under any provision of this rule, a candidate has a surplus, that surplus shall be dealt with in accordance with rules STV47.5 to STV47.10 and rule STV48.

STV49.12 Where the total of the votes of the two or more lowest candidates, together with any surpluses not transferred, is less than the number of votes credited to the next lowest candidate, the returning officer shall in one operation exclude such two or more candidates.

STV49.13 If when a candidate has to be excluded under this rule, two or more candidates each have the same number of votes and are lowest:

- (a) regard shall be had to the total number of votes credited to those candidates at the earliest stage of the count at which they had an unequal number of votes and the candidate with the lowest number of votes at that stage shall be excluded, and
- (b) where the number of votes credited to those candidates was equal at all stages, the returning officer shall decide between the candidates by lot and the candidate on whom the lot falls shall be excluded.

STV50. Filling of last vacancies

STV50.1 Where the number of continuing candidates is equal to the number of vacancies remaining unfilled the continuing candidates shall thereupon be deemed to be elected.

STV50.2 Where only one vacancy remains unfilled and the votes of any one continuing candidate are equal to or greater than the total of votes credited to other continuing candidates together with any surplus not transferred, the candidate shall thereupon be deemed to be elected.

STV50.3 Where the last vacancies can be filled under this rule, no further transfer of votes shall be made.

STV51. Order of election of candidates

STV51.1 The order in which candidates whose votes equal or exceed the quota are deemed to be elected shall be the order in which their respective surpluses were transferred or would have been transferred but for rule STV47.10.

STV51.2 A candidate credited with a number of votes equal to, and not greater than, the quota shall, for the purposes of this rule, be regarded as having had the smallest surplus at the stage of the count at which they obtained the quota.

- STV51.3 Where the surpluses of two or more candidates are equal and are not required to be transferred, regard shall be had to the total number of votes credited to such candidates at the earliest stage of the count at which they had an unequal number of votes and the surplus of the candidate who had the greatest number of votes at that stage shall be deemed to be the largest.
- STV51.4 Where the number of votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between them by lot and the candidate on whom the lot falls shall be deemed to have been elected first.

FPP51. Equality of votes

- FPP51.1 Where, after the counting of votes is completed, an equality of votes is found to exist between any candidates and the addition of a vote would entitle any of those candidates to be declared elected, the returning officer is to decide between those candidates by a lot and proceed as if the candidate on whom the lot falls had received an additional vote.

PART 7: FINAL PROCEEDINGS IN CONTESTED AND UNCONTESTED ELECTIONS

FPP52. Declaration of result for contested elections

- FPP52.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:
- (a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the council of governors from the constituency, or class within a constituency, for which the election is being held to be elected,
 - (b) give notice of the name of each candidate who they have declared elected:
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chair of the NHS Trust, or
 - (ii) in any other case, to the chair of the corporation; and
 - (c) give public notice of the name of each candidate whom they have declared elected.

- FPP52.2 The returning officer is to make:
- (a) the total number of votes given for each candidate (whether elected or not), and
 - (b) the number of rejected ballot papers under each of the headings in rule FPP44.5,
 - (c) the number of rejected text voting records under each of the headings in rule FPP44.10,
- available on request.

STV52. Declaration of result for contested elections

- STV52.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:
- (a) declare the candidates who are deemed to be elected under Part 6 of these rules as elected,
 - (b) give notice of the name of each candidate who they have declared elected –
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chair of the NHS Trust, or
 - (ii) in any other case, to the chair of the corporation, and
 - (c) give public notice of the name of each candidate who they have declared elected.
- STV52.2 The returning officer is to make:
- (a) the number of first preference votes for each candidate whether elected or not,
 - (b) any transfer of votes,
 - (c) the total number of votes for each candidate at each stage of the count at which such transfer took place,
 - (d) the order in which the successful candidates were elected, and
 - (e) the number of rejected ballot papers under each of the headings in rule STV44.1,
 - (f) the number of rejected text voting records under each of the headings in rule STV44.3,
- available on request.

53. Declaration of result for uncontested elections

- 53.1 In an uncontested election, the returning officer is to as soon as is practicable after final day for the delivery of notices of withdrawals by candidates from the election:

- (a) declare the candidate or candidates remaining validly nominated to be elected,
- (b) give notice of the name of each candidate who they have declared elected to the chair of the corporation, and
- (c) give public notice of the name of each candidate who they have declared elected.

PART 8: DISPOSAL OF DOCUMENTS

54. Sealing up of documents relating to the poll

54.1 On completion of the counting at a contested election, the returning officer is to seal up the following documents in separate packets:

- (a) the counted ballot papers, internet voting records, telephone voting records and text voting records,
- (b) the ballot papers and text voting records endorsed with “rejected in part”,
- (c) the rejected ballot papers and text voting records, and
- (d) the statement of rejected ballot papers and the statement of rejected text voting records,

and ensure that complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.

54.2 The returning officer must not open the sealed packets of:

- (a) the disqualified documents, with the list of disqualified documents inside it,
- (b) the list of spoilt ballot papers and the list of spoilt text message votes,
- (c) the list of lost ballot documents, and
- (d) the list of eligible voters,

or access the complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 and held in a device suitable for the purpose of storage.

54.3 The returning officer must endorse on each packet a description of:

- (a) its contents,
- (b) the date of the publication of notice of the election,
- (c) the name of the corporation to which the election relates, and
- (d) the constituency, or class within a constituency, to which the election relates.

55. Delivery of documents

55.1 Once the documents relating to the poll have been sealed up and endorsed pursuant to rule 56, the returning officer is to forward them to the chair of the corporation.

56. Forwarding of documents received after close of the poll

56.1 Where:

- (a) any voting documents are received by the returning officer after the close of the poll, or
- (b) any envelopes addressed to eligible voters are returned as undelivered too late to be resent, or
- (c) any applications for replacement voting information are made too late to enable new voting information to be issued,

the returning officer is to put them in a separate packet, seal it up, and endorse and forward it to the chair of the corporation.

57. Retention and public inspection of documents

57.1 The corporation is to retain the documents relating to an election that are forwarded to the chair by the returning officer under these rules for one year, and then, unless otherwise directed by the board of directors of the corporation, cause them to be destroyed.

57.2 With the exception of the documents listed in rule 58.1, the documents relating to an election that are held by the corporation shall be available for inspection by members of the public at all reasonable times.

57.3 A person may request a copy or extract from the documents relating to an election that are held by the corporation, and the corporation is to provide it, and may impose a reasonable charge for doing so.

58. Application for inspection of certain documents relating to an election

58.1 The corporation may not allow:

- (a) the inspection of, or the opening of any sealed packet containing:
 - (i) any rejected ballot papers, including ballot papers rejected in part,
 - (ii) any rejected text voting records, including text voting records rejected in part,
 - (iii) any disqualified documents, or the list of disqualified documents,
 - (iv) any counted ballot papers, internet voting records, telephone voting records or text voting records, or
 - (v) the list of eligible voters, or

- (b) access to or the inspection of the complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 and held in a device suitable for the purpose of storage,

by any person without the consent of the board of directors of the corporation.

58.2 A person may apply to the board of directors of the corporation to inspect any of the documents listed in rule 58.1, and the board of directors of the corporation may only consent to such inspection if it is satisfied that it is necessary for the purpose of questioning an election pursuant to Part 11.

58.3 The board of directors of the corporation's consent may be on any terms or conditions that it thinks necessary, including conditions as to:

- (a) persons,
- (b) time,
- (c) place and mode of inspection,
- (d) production or opening,

and the corporation must only make the documents available for inspection in accordance with those terms and conditions.

58.4 On an application to inspect any of the documents listed in rule 58.1 the board of directors of the corporation must:

- (a) in giving its consent, and
- (b) in making the documents available for inspection

ensure that the way in which the vote of any particular member has been given shall not be disclosed, until it has been established:

- (i) that their vote was given, and
- (ii) that NHSE has declared that the vote was invalid.

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

FPP59. Countermand or abandonment of poll on death of candidate

FPP59.1 If at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to:

- (a) countermand notice of the poll, or, if voting information has been issued, direct that the poll be abandoned within that constituency or class, and
- (b) order a new election, on a date to be appointed by him or her in consultation with the corporation, within the period of 40 days, computed in accordance with rule 3 of these rules, beginning with the day that the poll was countermanded or abandoned.

- FPP59.2 Where a new election is ordered under rule FPP59.1, no fresh nomination is necessary for any candidate who was validly nominated for the election where the poll was countermanded or abandoned but further candidates shall be invited for that constituency or class.
- FPP59.3 Where a poll is abandoned under rule FPP59.1(a), rules FPP59.4 to FPP59.7 are to apply.
- FPP59.4 The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 38 and 39 and is to make up separate sealed packets in accordance with rule 40.
- FPP59.5 The returning officer is to:
- (a) count and record the number of ballot papers, internet voting records, telephone voting records and text voting records that have been received,
 - (b) seal up the ballot papers, internet voting records, telephone voting records and text voting records into packets, along with the records of the number of ballot papers, internet voting records, telephone voting records and text voting records and
- ensure that complete electronic copies of the internet voting records telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.
- FPP59.6 The returning officer is to endorse on each packet a description of:
- (a) its contents,
 - (b) the date of the publication of notice of the election,
 - (c) the name of the corporation to which the election relates, and
 - (d) the constituency, or class within a constituency, to which the election relates.
- FPP59.7 Once the documents relating to the poll have been sealed up and endorsed pursuant to rules FPP59.4 to FPP59.6, the returning officer is to deliver them to the chair of the corporation, and rules 57 and 58 are to apply.

STV59. Countermand or abandonment of poll on death of candidate

STV59.1 If, at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to:

- (a) publish a notice stating that the candidate has died, and
- (b) proceed with the counting of the votes as if that candidate had been excluded from the count so that:
 - (i) ballot documents which only have a first preference recorded for the candidate that has died, and no preferences for any other candidates, are not to be counted, and
 - (ii) ballot documents which have preferences recorded for other candidates are to be counted according to the consecutive order of those preferences, passing over preferences marked for the candidate who has died.

STV59.2 The ballot documents which have preferences recorded for the candidate who has died are to be sealed with the other counted ballot documents pursuant to rule 54.1(a).

PART 10: ELECTION EXPENSES AND PUBLICITY

Election expenses**60. Election expenses**

60.1 Any expenses incurred, or payments made, for the purposes of an election which contravene this Part are an electoral irregularity, which may only be questioned in an application made to NHSE under Part 11 of these rules.

61. Expenses and payments by candidates

61.1 A candidate may not incur any expenses or make a payment (of whatever nature) for the purposes of an election, other than expenses or payments that relate to:

- (a) personal expenses,
- (b) travelling expenses, and expenses incurred while living away from home, and
- (c) expenses for stationery, postage, telephone, internet (or any similar means of communication) and other petty expenses, to a limit of £100.

62. Election expenses incurred by other persons

- 62.1 No person may:
- (a) incur any expenses or make a payment (of whatever nature) for the purposes of a candidate's election, whether on that candidate's behalf or otherwise, or
 - (b) give a candidate or their family any money or property (whether as a gift, donation, loan, or otherwise) to meet or contribute to expenses incurred by or on behalf of the candidate for the purposes of an election.
- 62.2 Nothing in this rule is to prevent the corporation from incurring such expenses, and making such payments, as it considers necessary pursuant to rules 63 and 64.

Publicity

63. Publicity about election by the corporation

- 63.1 The corporation may:
- (a) compile and distribute such information about the candidates, and
 - (b) organise and hold such meetings to enable the candidates to speak and respond to questions, as it considers necessary.
- 63.2 Any information provided by the corporation about the candidates, including information compiled by the corporation under rule 64, must be:
- (a) objective, balanced and fair,
 - (b) equivalent in size and content for all candidates,
 - (c) compiled and distributed in consultation with all of the candidates standing for election, and
 - (d) must not seek to promote or procure the election of a specific candidate or candidates, at the expense of the electoral prospects of one or more other candidates.
- 63.3 Where the corporation proposes to hold a meeting to enable the candidates to speak, the corporation must ensure that all of the candidates are invited to attend, and in organising and holding such a meeting, the corporation must not seek to promote or procure the election of a specific candidate or candidates at the expense of the electoral prospects of one or more other candidates.

64. Information about candidates for inclusion with voting information

- 64.1 The corporation must compile information about the candidates standing for election, to be distributed by the returning officer pursuant to rule 24 of these rules.
- 64.2 The information must consist of:
- (a) a statement submitted by the candidate of no more than 250 words,
 - (b) if voting by telephone or text message is a method of polling for the election, the numerical voting code allocated by the returning officer to each candidate, for the purpose of recording votes using the telephone voting facility or the text message voting facility (“numerical voting code”), and
 - (c) a photograph of the candidate.
- 65. Meaning of “for the purposes of an election”**
- 65.1 In this Part, the phrase “for the purposes of an election” means with a view to, or otherwise in connection with, promoting or procuring a candidate’s election, including the prejudicing of another candidate’s electoral prospects; and the phrase “for the purposes of a candidate’s election” is to be construed accordingly.
- 65.2 The provision by any individual of their own services voluntarily, on their own time, and free of charge is not to be considered an expense for the purposes of this Part.

PART 11: QUESTIONING ELECTIONS AND THE CONSEQUENCE OF IRREGULARITIES

- 66. Application to question an election**
- 66.1 An application alleging a breach of these rules, including an electoral irregularity under Part 10, may be made to NHSE for the purpose of seeking a referral to the independent election arbitration panel (IEAP).
- 66.2 An application may only be made once the outcome of the election has been declared by the returning officer.
- 66.3 An application may only be made to NHSE by:
- (a) a person who voted at the election or who claimed to have had the right to vote, or
 - (b) a candidate, or a person claiming to have had a right to be elected at the election.

- 66.4 The application must:
- (a) describe the alleged breach of the rules or electoral irregularity, and
 - (b) be in such a form as the independent panel may require.
- 66.5 The application must be presented in writing within 21 days of the declaration of the result of the election. NHSE will refer the application to the independent election arbitration panel appointed by NHSE.
- 66.6 If the independent election arbitration panel requests further information from the applicant, then that person must provide it as soon as is reasonably practicable.
- 66.7 NHSE shall delegate the determination of an application to a person or panel of persons to be nominated for the purpose.
- 66.8 The determination by the IEAP shall be binding on and shall be given effect by the corporation, the applicant and the members of the constituency (or class within a constituency) including all the candidates for the election to which the application relates.
- 66.9 The IEAP may prescribe rules of procedure for the determination of an application including costs.

PART 12: MISCELLANEOUS

67. **Secrecy**

67.1 The following persons:

- (a) the returning officer,
- (b) the returning officer's staff,

must maintain and aid in maintaining the secrecy of the voting and the counting of the votes, and must not, except for some purpose authorised by law, communicate to any person any information as to:

- (i) the name of any member of the corporation who has or has not been given voting information or who has or has not voted,
- (ii) the unique identifier on any ballot paper, (iii) the voter ID number allocated to any voter,
- (iv) the candidate(s) for whom any member has voted.

67.2 No person may obtain or attempt to obtain information as to the candidate(s) for whom a voter is about to vote or has voted or communicate such information to any person at any time, including the unique identifier on a ballot paper given to a voter or the voter ID number allocated to a voter.

67.3 The returning officer is to make such arrangements as they think fit to ensure that the individuals who are affected by this provision are aware of the duties it imposes.

68. Prohibition of disclosure of vote

68.1 No person who has voted at an election shall, in any legal or other proceedings to question the election, be required to state for whom they have voted.

69. Disqualification

69.1 A person may not be appointed as a returning officer, or as staff of the returning officer pursuant to these rules, if that person is:

- (a) a member of the corporation,
- (b) an employee of the corporation,
- (c) a director of the corporation, or
- (d) employed by or on behalf of a person who has been nominated for election.

70. Delay in postal service through industrial action or unforeseen event

70.1 If industrial action, or some other unforeseen event, results in a delay in:

- (a) the delivery of the documents in rule 24, or
- (b) the return of the ballot papers,

the returning officer may extend the time between the publication of the notice of the poll and the close of the poll by such period as he considers appropriate.

ANNEX 5 – ADDITIONAL PROVISIONS – COUNCIL OF GOVERNORS

(Paragraph 22)

Elected Governors

- 1 A member of the Public Constituency may not vote at an election for a Public Governor unless they have made a declaration in the form specified by the Secretary that they are qualified to vote as a member of the relevant area of the Public Constituency. It is an offence to knowingly or recklessly make such a declaration which is false in a material particular.

Appointed Governors

- 2 Appointed governors are to be appointed by the appointing organisations, in accordance with a process agreed with the Secretary.

Appointment of Lead Governor

- 3 The Council of Governors shall elect a Public Governor to be Lead Governor of the Council of Governors. The term of office for the Lead Governor shall be two years. At the end his term of office the Lead Governor shall be eligible for re-election by the Council of Governors. The maximum term of office as Lead Governor shall be no more than four years.

Further provisions as to eligibility to be a Governor

- 4 A person may not become a governor of the trust, and if already holding such office will immediately cease to do so, if:
 - 4.1 they are a director of the trust or a governor or director of an NHS body (unless they are appointed by an appointing organisation which is an NHS body);
 - 4.2 they are the spouse, partner, parent or child of a member of the Board of Directors of the trust;
 - 4.3 they are a member of a committee which has any role on behalf of a local authority to scrutinise health matters;
 - 4.4 they have been previously removed as a Governor;
 - 4.5 being a member of the Public Constituency, they refuse to sign a declaration in the form specified by the Secretary of particulars of their qualification to vote as a member of the trust, and that they are not prevented from being a governor of the Council of Governors;

- 4.6 they are subject to a sex offender order, sexual risk order, sexual harm prevention order or equivalent;
- 4.7 they have within the preceding two years been dismissed, otherwise than by reason of redundancy or medical incapacity, from any paid employment with an NHS body;
- 4.8 They are, or are eligible to be, a member of the Staff Constituency and have received a final written warning from the trust which has not yet expired.
- 4.9 they are a person whose tenure of office as the Chair or as a member or director of an NHS body has been terminated on the grounds that their appointment is not in the interests of the health service, for non-attendance at meetings, or for non-disclosure of a pecuniary interest.
- 4.10 A person holding office as a Governor shall immediately cease to do so if:
 - 4.10.1 they have failed to sign and deliver to the Secretary a statement in the form required by the Secretary confirming acceptance of the trust's Conflict of Interests policy.
 - 4.10.2 they are removed from the Council of Governors under the provisions of clause 15.4.

Mid Term Vacancies amongst Governors

- 5.1 Elections for elected members of the Council of Governors will normally be held annually within a financial year, at a time most appropriate, giving due regard to Governor vacancies.
- 5.2 A vacancy that arises amongst the elected governors for any reason other than expiry of term of office will be offered to the candidate who received the next highest number of votes in the same class and constituency in the most recent election, or should that candidate decline, offered to each of the remaining next highest polling candidates in order until the seat is filled. If the election was uncontested, or if none of the previous candidates is willing to serve as a governor, a further election will be held.
- 5.3 Where the vacancy arises amongst the appointed Governors, the Secretary shall request that the appointing organisation appoints a replacement to hold office for the remainder of the term of office.

ANNEX 6 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE COUNCIL OF GOVERNORS

(Paragraph 18 and 20)

1 INTERPRETATION

- 1.1 Save as permitted by law, the Chair of the trust shall be the final authority on the interpretation of Standing Orders (on which they shall be advised by the Secretary).
- 1.2 Any expression to which a meaning is given in the 2006 Act shall have the same meaning in this interpretation and in addition:

“Board of Directors”	shall mean the Chair and Non-Executive Directors, appointed by the Council of Governors, and the Executive Directors appointed by the Nominations, Remuneration and Succession (Executive Directors) Committee of the Board of Directors.
“Chair”	is the person appointed by the Council of Governors in accordance with paragraph 24 of this Constitution. The expression “the Chair” shall be deemed to include the Deputy Chair or otherwise a Non-Executive Director appointed by the Board of Directors to preside for the time being over its meetings.
“Chief Executive”	shall mean the chief officer of the trust.
“Constitution”	means the constitution of the trust and all annexes to it, as may be amended from time to time.
“Council of Governors”	means the Council of Governors of the trust from time to time;
“Director”	shall mean a person appointed to the Board of Directors in accordance with the trust’s Constitution and includes the Chair.
“Governor”	means a Governor on the Council of Governors
“Meeting”	means a duly convened meeting of the Council of Governors

“Motion”	Means a formal proposition to be discussed and voted on during the course of a meeting.
“Nominated Officer”	means an Officer charged with the responsibility for discharging specific tasks within Standing Orders.
“Officer”	means an employee of the trust.
“Question on Notice”	means a question from a Governor (notice of which has been given pursuant to Standing Order 4.7.2) about a matter over which the Council has powers or duties or which affects the services provided by the trust;
“Remuneration and Appointments Committee “	shall be a committee appointed by the Board of Directors in accordance with paragraph 28.3 of this Constitution.
“Secretary”	means the Secretary of the trust or any other person appointed to perform the duties of the Secretary, including a joint assistant or deputy secretary.

2. GENERAL INFORMATION

- 2.1 These Standing Orders for the practice and procedure of the Council of Governors are the standing orders referred to in paragraph 16 of the Constitution. They may be amended in accordance with the procedure set out in Standing Order 4.14 below. If there is any conflict between these Standing Orders and the Constitution, the Constitution shall prevail.
- 2.2 The purpose of the Council of Governors' Standing Orders is to ensure that the highest standards of corporate governance and conduct are applied to all meetings of the Council of Governors and associated deliberations. The Council shall at all times seek to comply with the trust's Code of Conduct for the Council of Governors.
- 2.3 All business shall be conducted in the name of the trust.

- 2.4 The Board of Directors shall appoint trustees to administer, separately, charitable funds received by the trust and for which they are accountable to the Charity Commission.
- 2.5 A Governor who has acted honestly and in good faith will not have to meet, out of their own personal resources, any personal civil liability which is incurred in the execution or purported execution of their functions as a Governor save where the Governor has acted recklessly. On behalf of the Council of Governors, and as part of the trust's overall insurance arrangements, the Board of Directors shall put in place appropriate insurance provision to cover such indemnity.

3. **Composition of the Council of Governors**

- 3.1. The composition of the Council of Governors shall be in accordance with paragraph 10 and Annex 3 of the trust's Constitution.
- 3.2. **Appointment and Removal of the Chair of the Council of Governors** - This appointment shall be made by the Council of Governors in accordance with paragraph 24 of the trust's Constitution.
- 3.3. **Duties of Deputy Chair** - Where the Chair of the trust has died or has otherwise ceased to hold office or where they have been unable to perform his duties as Chair owing to illness, absence from England and Wales or any other cause, references to the Chair shall, so long as there is no Chair able to perform his duties, be taken to include references to the Deputy Chair or the Non-Executive Director nominated by the Council of Governors to take on the duties of the Chair or Deputy Chair should both be absent from a meeting or otherwise unavailable or unable to perform his duties.

4. **Meetings of the Council of Governors**

- 4.1. Admission to meetings
- 4.1.1 Meetings of the Council of Governors must be open to the public (which, for the avoidance of doubt, includes representatives of the press), subject to 4.1.2 and 4.1.3 below.
- 4.1.2 The Council of Governors may resolve to exclude members of the public or a representative from the press from any

meeting or part of a meeting for reasons of commercial confidentiality or for other special reasons.

- 4.1.3 The Chair may exclude any member of the public or representative from the press from the meeting of the Council of Governors if they consider that they are interfering with or preventing the proper conduct of the meeting.
- 4.1.4 Meetings of the Council of Governors shall be held at least four times each year at such times and places that the Chair may determine.
- 4.1.5 Without prejudice to the power of the Council of Governors to require one or more of the Directors to attend a meeting of the Council of Governors for the purposes of obtaining information about the trust's performance of its functions or the Directors' performance of their duties (and decide whether to propose a vote on the trust's or Directors' performance) at paragraph 15.3 of the Constitution, the Council of Governors may invite the Chief Executive, one or more Directors or a representative of the auditor or other advisors, as appropriate, to attend any meeting of the Council of Governors to enable Governors to raise questions about the trust's affairs.

4.2 **Calling Meetings**

- 4.2.1 Meetings of the Council of Governors may be called by the Secretary or the Chair or one third of current Governors (including at least two elected Governors and one appointed Governors) who give written notice to the Secretary specifying the business to be carried out. The Secretary shall send a written notice to all Governors as soon as possible after receipt of such a request. If upon receipt of such a request, the Secretary fails to call such a meeting, the Chair or the one-third of Governors, whichever is the case, shall call the meeting.
- 4.2.2 All decisions taken in good faith at a meeting of the Council of Governors or of any committee shall be valid even if it is discovered subsequently that there was a defect in the calling of the meeting.

4.3 Notice of Meetings

- 4.3.1 The Secretary shall deliver a schedule of the dates, times and venues of meetings of the Council of Governors for each calendar year, six months in advance of the first meeting of the Council of Governors to be called, duly signed by the Chair or by an Officer of the trust authorised by the Chair to sign on his behalf, to every Governor, or send such schedule by post to the usual place of residence of such Governor. Lack of service of the notice on any Governor shall not affect the validity of a meeting, subject to 4.3.4 below.
- 4.3.2 Notwithstanding 4.3.1, and subject to 4.3.3, should an additional meeting of the Council of Governors be called pursuant to 4.2, the Secretary shall, as soon as possible, deliver written notice of the date, time and venue of the meeting to every Governor, or send by post to the usual place of residence of such Governor, so as to be available to him/her at least fourteen days and not more than twenty eight days before the meeting. Such notice will also be published on the trust's website.
- 4.3.3 The Chair may waive the notice required pursuant to 4.3.2 in the case of emergencies or in the case of the need to conduct urgent business.
- 4.3.4 Subject to 4.3.3, failure to serve notice on more than three quarters of Council of Governors will invalidate any meeting. A notice will be presumed to have been served 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, 48 hours after it was sent.
- 4.3.5 Before each meeting of the Council of Governors, the Secretary shall ensure that every Governor is provided with reasonable notice of the details of the business to be transacted in it. In the case of a meeting called by Governors in default of the Chair, no business shall be transacted at the meeting other than that specified in the notice.

4.4 Setting the Agenda

- 4.4.1 The Secretary shall ensure an agenda, minutes of the previous meeting of the Council of Governors, copies of any

Questions on Notice and/or motions on notice to be considered at the relevant meeting of the Council of Governors and any supporting papers are delivered to every Governor, either electronically, or sent by post to the usual place of residence of such Governor, so as to be available to him/her normally at least seven days in advance of the meeting.

- 4.4.2 Approval of the minutes of the previous meeting of the Council of Governors will be a specific item on each agenda.
- 4.4.3 In the case of a meeting called by the Chair, a Governor desiring a matter to be included on an agenda shall make his request in writing to the Chair at least ten clear days before the meeting. Requests made less than ten days before a meeting may be included on the agenda at the discretion of the Chair.

4.5 **Chair of Meeting**

At any meeting of the Council of Governors, the person presiding shall be determined in accordance with paragraph 17.1 of the Constitution.

4.6 **Notices of Motions**

- 4.6.1 For the avoidance of doubt, motions by the Council of Governors may only concern matters for which the Council of Governors has a responsibility, or which affect the services provided by the trust.
- 4.6.2 Notice of motion to amend or rescind any resolution (or the general substance of any resolution), which has been passed within the preceding six calendar months, shall bear the signature of the Governor who gave it and the signature of four other Governors. When any such motion has been disposed of by the Council of Governors it shall not be competent for any Governor, other than the Chair, to propose a motion to the same effect within six months; however the Chair may do so if they consider it appropriate.
- 4.6.3 Subject to paragraph 4.6.5 and except in the circumstances covered by paragraph 4.8, Governors desiring to move or amend a motion shall send a written notice thereof at least

ten clear days before the meeting at which it is proposed to be considered to the Secretary, such written notice to be signed or transmitted by at least two Governors. For the purposes of this paragraph 4.6, receipt of such motions by electronic means is acceptable.

- 4.6.4 Upon receipt of a motion, the Secretary shall:
- 4.6.4.1 acknowledge receipt in writing to each of the Governors who signed or transmitted it; and
 - 4.6.4.2 insert this in the agenda for that meeting, together with any relevant papers.
- 4.6.5 The following motions may be moved at any meeting without notice:
- 4.6.5.1 To amend the minutes of the previous meeting of the Council of Governors in order to ensure accuracy;
 - 4.6.5.2 To change the order of business in the agenda for the meeting;
 - 4.6.5.3 To refer a matter discussed at a meeting to an appropriate body or individual;
 - 4.6.5.4 To appoint a working group arising from an item on the agenda for the meeting;
 - 4.6.5.5 To receive reports or adopt recommendations made by the Board of Directors;
 - 4.6.5.6 To withdraw a motion;
 - 4.6.5.7 To amend a motion;
 - 4.6.5.8 To proceed to the next business on the agenda;
 - 4.6.5.9 That the question be now put;
 - 4.6.5.10 To adjourn a debate;
 - 4.6.5.11 To adjourn a meeting;
 - 4.6.5.12 To exclude the public and press from the meeting in question pursuant to 4.1.2 (in which case, the motion shall state on what grounds such exclusion is appropriate).
 - 4.6.5.13 To not hear further from a Governor, or to exclude them from the meeting in question (if a member persistently disregards the ruling of the Chair or behaves improperly or offensively or deliberately obstructs business, the Chair, in his absolute discretion, may move that the Governor in question will not be heard further at that meeting and, if seconded, the motion will

be voted on without discussion. If the Governor continues to behave improperly after such a motion is carried, the Chair may move that either the Governor leaves the meeting room or that the meeting is adjourned for a specific period. If seconded, that motion will be voted on without discussion.)

4.6.5.14 To give the consent of the Council of Governors to any matter on which its consent is required pursuant to the Constitution.

4.6.6 The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment thereto.

4.7 Questions on Notice at Meetings

4.7.1 Subject to 4.7.2, a Governor may ask a Question on Notice of:

- 4.7.1.1 the Chair;
- 4.7.1.2 another Governor;
- 4.7.1.3 an Executive Director; or
- 4.7.1.4 the chair of any sub-committee or working group of the Council.

4.7.2 Except in the circumstances covered by 4.8, notice of a Question on Notice must be given in writing to the Secretary at least ten days prior to the relevant meeting. For the purposes of this Standing Order 4.7, receipt of any such Questions on Notice via electronic means is acceptable.

4.7.3 A response to a Question on Notice may take the form of:

- 4.7.3.1 A direct oral answer at the relevant meeting (which may, where the desired information is in a publication of the trust or other published work, take the form of a reference to that publication);
- 4.7.3.2 Where a direct oral answer cannot be given, a written answer which will be circulated as soon as reasonably practicable to the questioner and circulated to the remaining Governors with the agenda for the next meeting.

4.7.4 Supplementary questions for the purpose of clarification of a reply to a Question on Notice may be asked at the absolute discretion of the Chair.

4.8 **Urgent motions or questions**

4.8.1 The Chair may, in his opinion, table an urgent motion or question.

4.8.2 A Governor may submit an urgent motion or question in writing to the Secretary before the commencement of the meeting at which it is proposed it should be considered.

4.9 **Reports from the Executive Directors**

4.9.1 At any meeting, a Governor may ask any question on any report by an Executive Director or another Officer through the Chair without notice, after that report has been received by or while such report is under consideration by the Council of Governors at the meeting.

4.9.2 Unless the Chair decides otherwise, no statements will be made by a Governor other than those which are strictly necessary to define or clarify any questions posed pursuant to 4.9.1 and, in any event, no such statement may last longer than three minutes each.

4.9.3 A Governor who has asked a question pursuant to 4.9.1 may ask a supplementary question if the supplementary question arises directly out of the reply given to the initial question.

4.9.4 The Chair may, in his/ absolute discretion, reject any question from any Governor if, in the opinion of the Chair, the question is substantially the same and relates to the same topic as a question which has already been put to the meeting or a previous meeting.

4.9.5 At the absolute discretion of the Chair, questions may, at any meeting which is held in public, be asked of the Executive Directors present by members of the trust or any other members of the public present at the meeting.

4.10 **Speaking**

This Standing Order applies to all forms of speech/debate by Governors or members of the trust and public in relation to a motion or question under discussion at a meeting of the Council of Governors.

- 4.10.1 Any approval to speak must be given by the Chair.
- 4.10.2 All speakers must state their name and role before starting to speak to ensure the accuracy of the meeting minutes.
- 4.10.3 Speeches must be directed to the matter, motion or question under discussion or to a point of order.
- 4.10.4 Unless in the opinion of the Chair it would not be desirable or appropriate to time limit speeches on any topic to be discussed having regard to its nature, complexity or importance, no proposal, speech nor any reply may exceed three minutes.
- 4.10.5 The Chair may, in his absolute discretion, limit the number of replies, questions or speeches which are heard at any one meeting.
- 4.10.6 A person who has already spoken on a matter at a meeting may not speak again at that same meeting in respect of that matter unless exercising a right of reply or speaking on a point of order.

4.11 **Chair's Ruling**

Statements of Governors made at meetings of the Council of Governors shall be relevant to the matter under discussion at the material time and the decision of the Chair of the meeting on questions of order, relevancy, regularity and any other matters shall be observed at the meeting.

4.12 **Voting**

- 4.12.1 Decisions at meetings shall be determined by a majority of the votes of the Governors present and voting. In the case of any equality of votes, the person presiding shall have a second or casting vote.

- 4.12.2 All decisions put to the vote shall, at the discretion of the Chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the Governors present so request.
- 4.12.3 If at least one-third of the Governors present so request, the voting (other than by paper ballot) on any question may be recorded to show how each Governor present voted or abstained.
- 4.12.4 If a Governor so requests, his vote shall be recorded by name upon any vote (other than by paper ballot).
- 4.12.5 In no circumstances may an absent Governor vote by proxy. Subject to paragraph 4.17.3, absence is defined as being absent at the time of the vote.
- 4.12.6 An elected Governor may not vote at a meeting of the Council of Governors unless, before attending the meeting, they have made a declaration in the form specified by the Secretary of the particulars of their qualification to vote as a member of the trust and that they are not prevented from being a Governor on the Council of Governors. An elected Governor shall be deemed to have confirmed the declaration upon attending any subsequent meeting of the Council of Governors and every agenda for meetings of the Council of Governors shall draw this to the attention of the elected Governors.

4.13 **Suspension of Standing Orders (SOs)**

- 4.13.1 Except where this would contravene any statutory provision or a direction made by the Secretary of State, any one or more of these Standing Orders may be suspended at any meeting, provided that at least two-thirds of the Council of Governors are present and that a majority of those present vote in favour of suspension.
- 4.13.2 A decision to suspend SOs shall be recorded in the minutes of the meeting.

4.13.3 A separate record of matters discussed during the suspension of SOs shall be made and shall be available to the Directors.

4.13.4 No formal business may be transacted while SOs are suspended.

4.13.5 The Trust's Audit Committee shall review every decision to suspend SOs.

4.14 **Variation and Amendment of Standing Orders**

Notwithstanding paragraph 44 of this Constitution, these Standing Orders shall be amended only if:

4.14.1 the variation proposed does not contravene a statutory provision;

4.14.2 a motion to amend the Standing Orders is signed by seven Governors (including at least two elected Governors and one appointed Governors) and submitted to the Secretary in writing at least 21 days before the meeting at which the motion is intended to be proposed

4.14.3 or approved at the Council of Governors Advisory Committee ; and

4.14.4 no fewer than three quarters of the Governors present and voting vote in favour of the amendment.

4.15 **Record of Attendance**

4.15.1 The names of the Governors present at the meeting (including when present pursuant to paragraph 4.17.3) shall be recorded in the minutes.

4.15.2 Governors who are unable to attend a meeting shall notify the Secretary in writing in advance of the meeting in question in order that their apologies are submitted.

4.16 **Minutes**

4.16.1 The minutes of the proceedings of the meeting shall be drawn up and maintained as a public record. They will be

submitted for agreement at the next meeting where they will be signed by the person presiding at it.

4.16.2 No discussion shall take place upon the minutes except upon their accuracy or where the Chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the next meeting.

4.16.3 The minutes of the meeting shall be made available to the public except for minutes relating to business conducted when members of the public and press are excluded pursuant to 4.1.2 unless otherwise required by law.

4.17 **Quorum**

4.17.1 One third of current Governors shall form a quorum.

4.17.2 If a Governor has been disqualified from participating in the discussion on any matter and from voting on any resolution by reason of the declaration of a conflict of interest they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business.

4.17.3 The Council of Governors may agree that its members can participate in its meetings by telephone, video or video media link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.

5. **Arrangements for the Exercise of Functions by Delegation**

The Council of Governors may not delegate any of its powers to a committee or sub-committee, although it may appoint committees consisting of its members, Directors and other persons to assist the Council of Governors in carrying out its functions. The Council of Governors may, through the Secretary, request that advisors assist them or any committee they appoint in carrying out its duties.

6. Confidentiality

- 6.1 A Governor on the Council of Governors shall not disclose a matter dealt with by, or brought before, the Council of Governors without its permission.
- 6.2 Members of the Nominations Committee shall not disclose any matter dealt with by the Committee, notwithstanding that the matter has been reported or action has been concluded, if the Council of Governors or the Committee resolves that it is confidential.

7. Declaration of Interests and Register of Interests

- 7.1 Governors are required to comply with the trust's Conflict of Interests policy and declare interests that are material to the Council. All Governors should declare such interests on appointment and on any subsequent occasion that a conflict arises.
- 7.2 Subject to the exceptions in 7.3, a "material interest" is:
- 7.2.1 any directorship of a company;
 - 7.2.2 any interest or position in any firm, company, business or organisation (including any charitable or voluntary organisation) which has or is likely to have a trading or commercial relationship with the trust;
 - 7.2.3 any interest in an organisation providing health and social care services to the National Health Service;
 - 7.2.4 a position of authority in a charity or voluntary organisation in the field of health and social care;
 - 7.2.5 any connection with any organisation, entity or company considering entering into a financial arrangement with the trust including but not limited to lenders or banks.
- 7.3 The exceptions which shall not be treated as material interests for the purposes of these provisions are as follows:
- 7.3.1 shares not exceeding 2% of the total shares in issue held in any company whose shares are listed on any public exchange;

- 7.3.2 an employment contract with the trust held by a Staff Governor;
 - 7.3.3 an employment contract with a local authority held by a Local Authority Governor;
 - 7.3.4 an employment contract with or other position of authority within an appointing organisation held by an Appointed Governor.
- 7.4 Any Governor who has an interest in a matter to be considered by the Council of Governors (whether because the matter involves a firm, company, business or organisation in which the Governor or his spouse or partner has a material interest or otherwise) shall declare such interest to the Council of Governors and:
- 7.4.1 shall withdraw from the meeting and play no part in the relevant discussion or decision; and
 - 7.4.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).
- 7.5 Any Governor who fails to disclose any interest or material interest required to be disclosed under these provisions must permanently vacate their office if required to do so by a majority of the remaining Governors.
- 7.6 If a Governor has any doubt about the relevance of an interest, they should discuss it with the Chair who shall advise them whether or not to disclose the interest.
- 7.7 At the time that a Governor's interests are declared, they should be recorded in the Council of Governors' minutes and entered on a Register of Interests of Governors to be maintained by the Secretary. Any changes in interests should be declared at the next meeting of the Council of Governors following the change occurring.
- 7.8 Governors' directorships of companies likely or possibly seeking to do business with the NHS should be published in the Trust's annual report.

8. Register of Interests

- 8.1 The Secretary, will ensure that a Register of Interests is established to record formally declarations of interests of Governors.
- 8.2 Details of the Register will be kept up to date and reviewed annually.
- 8.3 The Register will be available to the public.

9. Compliance - Other Matters

- 9.1 All Governors shall comply with the Standards of Business Conduct set by the Board of Directors for the guidance of all staff employed by the trust.
- 9.2 All Governors of the trust shall comply with Standing Financial Instructions prepared by the Chief Finance Officer and approved by the Board of Directors for the guidance of all staff employed by the trust.
- 9.3 All Governors must behave in accordance with the seven Nolan principles of behaviour in Public Life (and the trust's Code of Conduct for Governors as amended from time to time):
 - Selflessness;
 - Integrity;
 - Objectivity;
 - Accountability;
 - Openness;
 - Honesty, and
 - Leadership.

10. Resolution of Disputes with Board of Directors

- 10.1. Should a dispute arise between the Council of Governors and the Board of Directors, then the disputes resolution procedure set out below shall be followed.
- 10.2. The Chair, or Deputy Chair (if the dispute involves the Chair), shall first endeavour, through discussion with Governors and Directors or, to achieve the earliest possible conclusion, appropriate representatives of them, to resolve the matter to the reasonable satisfaction of both parties.

- 10.3. Failing resolution under 10.2 above, then the Board of Directors or the Council of Governors, as appropriate, shall at its next formal meeting approve the precise wording of a Disputes Statement setting out clearly and concisely the issue or issues giving rise to the dispute.
- 10.4. The Chair shall ensure that the Disputes Statement, without amendment or abbreviation in any way, shall be an agenda item and agenda paper at the next formal meeting of the Board of Directors or Council of Governors as appropriate. That meeting shall agree the precise wording of a Response to Disputes Statement.
- 10.5. The Chair or Deputy Chair (if the dispute involves the Chair) shall immediately, or as soon as is practical, communicate the outcome to the other party and deliver the written Response to Disputes Statement. If the matter remains unresolved or only partially resolved then the procedure outlined in 10.2 above shall be repeated.
- 10.6. If, in the opinion of the Chair or Deputy Chair (if the dispute involves the Chair) and following the further discussions prescribed in 10.5 above, there is no further prospect of a full resolution or, if at any stage in the whole process, in the opinion of the Chair or Deputy Chair, as the case may be, there is no prospect of a resolution (partial or otherwise) then they shall advise the Council of Governors and Board of Directors accordingly.
- 10.7. On the satisfactory completion of this disputes process, the Board of Directors shall implement agreed changes.
- 10.8. On the unsatisfactory completion of this disputes process the view of the Board of Directors shall prevail.
- 10.9. Nothing in this procedure shall prevent the Council of Governors, if it so desires, from informing NHSE that, in the Council of Governors' opinion, the Board of Directors has not responded constructively to concerns of the Council of Governors that the trust is not acting in accordance with the terms of its Constitution or not complying with the terms of the 2006 Act.

11. Council Performance

- 11.1. The Chair shall, at least annually, lead a performance assessment process for the Council of Governors to enable the Council of

Governors to review its roles, structure and composition, and procedures, taking into account emerging best practice.

- 11.2. The performance assessment process in 11.1 shall include a review of the input into the Council of Governors of each appointing organisation.

ANNEX 7 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE BOARD OF DIRECTORS

(Paragraph 31)

1. Interpretation

- 1.1. Save as permitted by law, the Chair of the trust shall be the final authority on the interpretation of Standing Orders (on which they shall be advised by the Secretary).
- 1.2. Any expression to which a meaning is given in the 2006 Act shall have the same meaning in this interpretation and in addition:

Board of Directors shall mean the Chair and Non-Executive Directors, appointed by the Council of Governors, and the Executive Directors appointed by the Nominations and Remuneration (Executive Directors) Committee.

Chair is the person appointed by the Council of Governors in accordance with paragraph 26 of this Constitution. The expression “the Chair” shall be deemed to include the Deputy Chair or otherwise a Non-Executive Director appointed by the Board of Directors to preside for the time being over its meetings.

Chief Executive shall mean the chief officer of the trust.

Committee shall mean a committee appointed by the Board of Directors.

Committee Members shall be persons formally appointed by the Board of Directors to sit on or to chair specific committees.

Constitution shall mean the constitution of the trust and all annexes to it, as may be amended from time to time.

Director	shall mean a member of the Board of Directors appointed in accordance with the trust's Constitution and includes the Chair.
Motion	means a formal proposition to be discussed and voted on during the course of a meeting.
Nominated Officer	means an Officer charged with the responsibility for discharging specific tasks within Standing Orders
Officer	means an employee of the trust.
Nominations and Remuneration Committee	shall be a committee appointed in accordance with paragraph 28.3 of this Constitution.
Secretary	means the Secretary of the trust or any other person appointed to perform the duties of the Secretary, including a joint assistant or deputy secretary.
SOs	Standing Orders
Trust	Means The Walton Centre NHS Foundation Trust

2. General Information

- 2.1. The purpose of the Board of Directors Standing Orders is to ensure that the highest standards of Corporate Governance are achieved in the Board of Directors and throughout the organisation. The Board of Directors shall at all times seek to comply with the trust's Code of Conduct for Directors.
- 2.2. All business shall be conducted in the name of the trust.
- 2.3. The Directors shall appoint trustees to administer, separately, charitable funds received by the trust and for which they are accountable to the Charity Commission.

- 2.4. A Director, or Officer of the trust, who has acted honestly and in good faith will not have to meet out of their own personal resources any personal civil liability which is incurred in the execution or purported execution of their function as a Director save where the Director has acted recklessly. On behalf of the Directors, and as part of the trust's overall insurance arrangements, the Board of Directors shall put in place appropriate insurance provision to cover such indemnity.

3. **Composition of the Board of Directors**

- 3.1. The composition of the Board of Directors shall be as set out in paragraph 23 of the trust's Constitution. Subject to paragraph 23.2 of the Constitution, the number of Directors may be increased or reduced by the Board of Directors.
- 3.2. **Appointment and Removal of the Chair and Non-Executive Directors** - The Chair and Non-Executive Directors are appointed/removed by the Council of Governors in accordance with paragraph 24 of the trust's Constitution.
- 3.3. **Appointment and Removal of the Executive Directors** – The Nominations and Remuneration Committee of the Board of Directors (excluding the Chief Executive) shall appoint the Chief Executive (which appointment shall be approved by the Council of Governors). The Nominations and Remuneration Committee of the Board of Directors (inclusive of the Chief Executive) shall appoint or remove the other Executive Directors.
- 3.4. **Appointment and Removal of Deputy Chair** – For the purpose of enabling the proceedings of the trust to be conducted in the absence of the Chair, a Deputy Chair shall be appointed in accordance with paragraph 27 of the trust's Constitution.
- 3.5. **Powers of Deputy Chair** - Where the Chair of the trust has died or has otherwise ceased to hold office or where he has been unable to perform his duties as Chair owing to illness, absence from England and Wales or any other cause, references to the Chair shall, so long as there is no Chair able to perform his duties, be taken to include references to the Deputy Chair or otherwise to the Non-Executive Director appointed by the Board of Directors to preside for the time being over its meetings.

- 3.6. **Joint Directors** - Where more than one person is appointed jointly to a post in the trust which qualifies the holder for executive directorship or in relation to which an Executive Director is to be appointed, those persons shall become appointed as an Executive Director jointly and shall count as one person.
- 3.7. Non-Executive Directors may seek external advice or appoint an external advisor on any material matter of concern provided the decision to do so is a collective one by the majority of Non-Executive Directors.

4. Meetings of the Board of Directors

4.1. Admission to meetings

- 4.1.1. Meetings of the Board of Directors must be open to the public, unless the Board in its absolute discretion decides otherwise in relation to all or part of such meetings for reasons of commercial sensitivity or for other special reasons.
- 4.1.2. The Board of Directors may resolve to invite an individual to any meeting or part of a meeting on the grounds that it considers that:
- (a) their attendance at the meeting is relevant and beneficial to the nature of the business under consideration or is otherwise in the public interest; and
 - (b) that the individual understands any requirements for confidentiality that will be required of them by attending that meeting or part of a meeting.
- 4.1.3. Meetings of the Board of Directors shall be held at least three times each year at times and places that the Board of Directors may determine.
- 4.1.4. The Board of Directors shall arrange for an annual public meeting to be held within nine months of the end of each financial year. The registers and documents set out in paragraphs 34 and 37 of this Constitution shall be available for inspection at the meeting subject to the provisions of paragraph 36 of this Constitution.

4.2. Calling Meetings

Meetings of the Board of Directors may be called by the Secretary, or by the Secretary on the request of the Chair or by four Directors who give written notice to the Secretary specifying the business to be carried out. The Secretary shall send a written notice to all Directors as soon as possible after receipt of such a request. If the Secretary fails to call such a meeting, the Chair or four Directors, whichever is the case, shall call the meeting.

4.3. Notice of Meetings

4.3.1 The Secretary shall deliver a schedule giving notice of the date, time and venue of all meetings of the Board of Directors planned for the next calendar year, signed by the Chair or by an Officer of the trust authorised by the Chair to sign on his behalf to every Director, or send such schedule by post to the usual place of residence of such Director, so as to be available to him/her at least fourteen days before the first meeting and, in any event, before 1 January of the next calendar year. Lack of service of the notice on any Director shall not affect the validity of a meeting, subject to 4.3.4 below.

4.3.2. Notwithstanding the above requirement for a schedule of meeting dates each calendar year, and subject to 4.3.3, should an additional meeting of the Board of Directors be called pursuant to 4.2, the Secretary shall, as soon as possible, deliver written notice of the date, time and venue of the meeting to every Director, or send by post to the usual place of residence of such Director, so as to be available to him/her at least fourteen days before the meeting and not more than twenty eight days before the meeting.

4.3.3. The Chair may waive the notice required pursuant to 4.3.2 in the case of emergencies or in the case of the need to conduct urgent business.

4.3.4. Subject to 4.3.3, failure to serve such a notice on more than three Directors will invalidate the meeting. A notice will be presumed to have been served 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, 48 hours after it was sent.

4.3.5. Before each meeting of the Board, the Secretary shall ensure that every Director is provided with reasonable notice of the details of the business proposed to be transacted at it. In the case of a meeting called by Directors in default of the Chair, no business shall be transacted at the meeting other than that specified in the notice.

4.4. **Setting the Agenda**

4.4.1. The Board of Directors may determine that certain matters shall appear on every agenda for a meeting of the Board of Directors and shall be addressed prior to any other business being conducted.

4.4.2. In the case of a meeting called by the Chair or Secretary, a Director desiring a matter to be included on an agenda shall make his request in writing to the Secretary at least ten clear days before the meeting. Requests made less than ten days before a meeting may be included on the agenda at the discretion of the Chair.

4.4.3. The Secretary shall make arrangements to ensure that the final agenda and any supporting papers for the meeting, following the receipt of any requests in accordance with 4.4.2 above, are delivered to every Director, or sent by post to the usual place of residence of such Director, so as to be available to him/her at least seven clear days before the meeting. Copies of the final agenda must be sent to the Council of Governors at the same time.

4.5. **Chair of Meeting**

At any meeting of the Board of Directors the Chair shall preside, if present. If the Chair is absent from the meeting, the Deputy Chair appointed by the Council of Governors to take on the Chair's duties shall preside. Otherwise, such Non-Executive Director as the Directors present shall choose and shall preside.

4.6. **Notices of Motions**

4.6.1. A Director of the trust desiring to move or amend a motion shall send a written notice thereof at least ten clear days before the meeting to the Secretary, who shall insert in the agenda for the meeting all notices so received subject to the

notice being permissible under the appropriate regulations. This paragraph shall not prevent any motion being moved during the meeting, without notice, on any business mentioned on the agenda subject to 4.3.5 above.

- 4.6.2. A motion or amendment, once moved and seconded, may be withdrawn by the proposer with the concurrence of the seconder and the consent of the Chair.
- 4.6.3. Notice of motion to amend or rescind any resolution (or the general substance of any resolution), which has been passed within the preceding six calendar months, shall bear the signature of the Directors who gave it and also the signature of four other Directors. When any such motion has been disposed of by the Board of Directors it shall not be competent for any Director, other than the Chair, to propose a motion to the same effect within six months; however the Chair may do so if they consider it appropriate.
- 4.6.4. The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment thereto.
- 4.6.5. When a motion is under discussion or immediately prior to discussion it shall be open to a Director to move:
- (a) An amendment to the motion.
 - (b) The adjournment of the discussion or the meeting.
 - (c) The appointment of an ad hoc committee to deal with a specific item of business.
 - (d) That the meeting proceeds to the next business.
 - (e) That the motion be now put.

Such a motion, if seconded, shall be disposed of before the motion, which was originally under discussion or about to be discussed. No amendment to the motion shall be admitted if, in the opinion of the Chair of the meeting, the amendment negates the substance of the motion.

In the case of motions under (d) and (e), to ensure objectivity, motions may only be put by a Director who has not previously taken part in the debate.

4.7. **Chair's Ruling**

Statements of Directors made at meetings of the Board of Directors shall be relevant to the matter under discussion at the material time and the decision of the Chair of the meeting on questions of order, relevancy, regularity and any other matters shall be observed at the meeting.

4.8. **Voting**

4.8.1. Decisions at meetings shall be determined by a majority of the votes of the Directors present and voting.

- (a) In the case of any equality of votes, the Chair, or, in his absence, the person appointed to preside in accordance with 4.5 shall have a second and casting vote.
- (b) No resolution of the Board of Directors shall be passed if it is opposed by all of the Non-Executive Directors present or by all of the Executive Directors present.

4.8.2. All decisions put to the vote shall, at the discretion of the Chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the Directors present so request.

4.8.3. If at least one-third of the Directors present so request, the voting (other than by paper ballot) on any question may be recorded to show how each Director present voted or abstained.

4.8.4. If a Director so requests, his vote shall be recorded by name upon any vote (other than by paper ballot).

4.8.5. In no circumstances may an absent Director vote by proxy. Subject to paragraph 4.14.4, absence is defined as being absent at the time of the vote.

4.8.6. An officer who has been appointed formally by the Board of Directors to act up for an Executive Director during a period of incapacity or temporarily to fill an Executive Director vacancy, shall be entitled to exercise the voting rights of the Executive Director. An Officer attending the Board of Directors to represent an Executive Director during a period of incapacity

or temporary absence without formal acting up status may not exercise the voting rights of the Executive Director. An Officer's status when attending a meeting shall be recorded in the minutes.

4.9. **Joint Directors**

Where an Executive Director post is shared by more than one person:

- (a) each person shall be entitled to attend meetings of the Board of Directors;
- (b) in the case of agreement between them, they shall be eligible to have one vote between them;
- (c) in the case of disagreement between them, no vote should be cast;
- (d) the presence of those persons shall count as one person.

4.10. **Suspension of Standing Orders (SOs)**

4.10.1. Except where this would contravene any statutory provision or direction made by the Secretary of State, any one or more of these Standing Orders may be suspended at any meeting, provided that at least two-thirds of the Board of Directors are present, including two Executive Directors and two Non-Executive Directors, and that a majority of those present vote in favour of suspension.

4.10.2. A decision to suspend SOs shall be recorded in the minutes of the meeting.

4.10.3. A separate record of matters discussed during the suspension of SOs shall be made and shall be available to the Directors.

4.10.4. No formal business may be transacted while SOs are suspended.

4.10.5. The Audit Committee shall review every decision to suspend SOs.

4.11. **Variation and Amendment of Standing Orders**

Notwithstanding paragraph 43 of this Constitution, these Standing Orders shall be amended only if:

- 4.11.1. the variation proposed does not contravene a statutory provision; and
- 4.11.2. at least two thirds of the Directors are present; and
- 4.11.3. no fewer than half the total number of Non-Executive Directors vote in favour of the amendment.

4.12. **Record of Attendance**

The names of the Directors present at the meeting (including when deemed present pursuant to paragraph 4.14.4) shall be recorded in the minutes.

4.13. **Minutes**

- 4.13.1. The minutes of the proceedings of a meeting shall be drawn up and maintained as a permanent record. They will be submitted for agreement at the next meeting where they will be signed by the person presiding at it.
- 4.13.2. No discussion shall take place upon the minutes except upon their accuracy or where the Chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the next meeting.
- 4.13.3. Approved minutes shall be sent to the Council of Governors as soon as practicable after each meeting of the Board and shall be otherwise circulated in accordance with the Directors' wishes.

4.14. **Quorum**

- 4.14.1. No business shall be transacted at a meeting of the Board of Directors unless at least five Directors including not less than two Executive Directors (one of whom must be the Chief Executive or Deputy Chief Executive or another Executive Director nominated by the Chief Executive), and not less than two Non-Executive Directors (one of whom

must be the Chair or the Deputy Chair of the Board of Directors) are present.

- 4.14.2. An Officer in attendance for an Executive Director but without formal acting up status may not count towards the quorum.
- 4.14.3. If a Director has been disqualified from participating in the discussion on any matter and from voting on any resolution by reason of the declaration of a conflict of interest they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business.
- 4.14.4. The Board of Directors may agree that its members can participate in its meetings by telephone, video or video media link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.

5. Arrangements for the Exercise of Functions by Delegation

- 5.1. Subject to the requirements of the 2006 Act, the Board of Directors may make arrangements for the exercise, on behalf of the trust, of any of its functions by a committee or sub-committee, or by a Director or an Officer of the trust in each case subject to such restrictions and conditions as the Board of Directors thinks fit.
- 5.2. **Emergency Powers** - The powers which the Board of Directors has retained to itself within these Standing Orders may in emergency be exercised by the Chief Executive and the Chair after having consulted at least two Non-Executive Directors. The exercise of such powers by the Chief Executive and the Chair shall be reported to the next formal meeting of the Board of Directors for ratification.
- 5.3. **Delegation to Committees** - The Board of Directors shall agree from time to time to the delegation of executive powers to be exercised by committees or sub-committees, which it has formally constituted. The constitution and terms of reference of these committees, or sub-committees, and their specific executive powers shall be approved by the Board of Directors.

- 5.4. **Delegation to Officers** - Those functions of the trust which have not been retained as reserved by the Board of Directors or delegated to one of its Committees shall be exercised on behalf of the Board of Directors by the Chief Executive. They shall determine which functions they will perform personally and shall nominate Officers to undertake remaining functions but still retain an accountability for these to the Board of Directors.
- 5.5. The Chief Executive shall prepare a Scheme of Delegation identifying his proposals that shall be considered and approved by the Board of Directors, subject to any amendment agreed during the discussion. The Chief Executive may periodically propose amendment to the Scheme of Delegation, which shall be considered and approved by the Board of Directors as indicated above.
- 5.6. Nothing in the Scheme of Delegation shall impair the discharge of the direct accountability to the Board of Directors of the Executive Directors to provide information and advise the Board of Directors in accordance with any statutory requirements.
- 5.7. The arrangements made by the Board of Directors as set out in the "Scheme of Delegation" shall have effect as if incorporated into these Standing Orders.

6. Committees

6.1. Appointment of Committees

- 6.1.1. The Board of Directors may appoint committees of the Board of Directors, consisting wholly or partly of Directors of the trust or wholly of persons who are not Directors of the trust.
- 6.1.2. A committee so appointed may appoint sub-committees consisting wholly or partly of members of the committee (whether or not they include Directors of the trust) or wholly of persons who are not members of the committee (whether or not they include Directors of the trust).
- 6.1.3. The Standing Orders of the Board of Directors, as far as they are applicable, shall apply with appropriate alteration to meetings of any committees or sub-committees established by the Board of Directors.

- 6.1.4. Each such committee or sub-committee shall have such terms of reference and powers and be subject to such conditions (as to reporting back to the Board of Directors) as the Board of Directors shall decide from time to time following reviews of the terms of reference, powers and conditions. Such terms of reference shall be read in conjunction with these Standing Orders.
- 6.1.5. The Board of Directors may not delegate their executive powers to a committee, and a committee may not delegate any executive power it may have to a sub-committee, unless the committee or subcommittee consists wholly of Directors and such delegation is expressly authorised by the Board of Directors.
- 6.1.6. The Board of Directors shall approve the appointments to each of the committees that it has formally constituted. Where the Board of Directors determines that persons, who are neither Directors nor Officers, shall be appointed to a committee, the terms of such appointment shall be determined by the Board of Directors.
- 6.1.7. Where the trust is required to appoint persons to a committee, which is to operate independently of the trust, such appointment shall be approved by the Board of Directors.

6.2. Confidentiality

- 6.2.1. A member of the Board of Directors shall not disclose a matter dealt with by, or brought before, the Board of Directors without its permission.
- 6.2.2. A member of a committee of the Board of Directors shall not disclose any matter dealt with by, or brought before, the committee, notwithstanding that the matter has been reported or action has been concluded, if the Board of Directors or committee shall resolve that it is confidential.

7. Declaration of Interests and Register of Interests

7.1. Declaration of Interests

- 7.1.1. Directors are required to comply with the trust's Standards of Business Conduct, to declare interests that are required to be declared by the Constitution and to declare any other interests that are material to the Board of Directors. All Directors should declare such interests on appointment and on any subsequent occasion that a conflict arises.
- 7.1.2. Interests regarded as " material" include any of the following, held by a Director, or the spouse or partner of a Director:
- a) Any interest (excluding a holding of shares in a company whose shares are listed on any public exchange where the holding is less than 2% of the total shares in issue) or position held by a Director in any firm, company or business which has or is likely to have a trading or commercial relationship with the trust.
 - b) Any interest in a voluntary or other organisation providing health and social care services to the National Health Service.
 - c) A position of authority in a charity or voluntary organisation in the field of health and social care.
 - d) Any connection with any organisation, entity or company considering entering into a financial arrangement with the trust including but not limited to lenders or banks.
- 7.1.3. If Directors have any doubt about the relevance of an interest, this should be discussed with the Chair.
- 7.1.4. At the time that Directors' interests are declared, they should be recorded in the Board minutes. Any changes in interests should be declared at the next Board meeting following the change occurring.
- 7.1.5. Directors' directorships of companies likely or possibly seeking to do business with the NHS should be published in the Board of Director's annual report. The information should be kept up to date for inclusion in succeeding annual reports.
- 7.1.6. During the course of a Board meeting, if a conflict of interest is established in accordance with this Standing Order, the Director concerned should withdraw from the meeting and play no part in the relevant discussion or decision.

7.2. Register of Interests

7.2.1. The Secretary will ensure that a Register of Interests is established to record formally declarations of interests of Directors. In particular the Register will include details of all directorships and other relevant and material interests that have been declared by both Executive and Non- Executive Directors.

7.2.2. These details will be kept up to date by means of an annual review of the Register in which any changes to interests declared during the preceding twelve months will be incorporated.

7.2.3. The Register will be available to the public and the Secretary will take reasonable steps to bring the existence of the Register to the attention of the local population and to publicise arrangements for viewing it.

8. Compliance - Other Matters

8.1. All Directors of the trust shall comply with the Standards of Business Conduct set by the Board of Directors for the guidance of all staff employed by the trust.

8.2. All Directors of the trust shall comply with Standing Financial Instructions prepared by the Chief Finance Officer and approved by the Board of Directors.

8.3. All Directors must behave in accordance with the seven Nolan principles of behaviour in Public Life (and the trust's Code of Conduct for Directors as amended from time to time):

- Selflessness;
- Integrity;
- Objectivity;
- Accountability;
- Openness;
- Honesty; and
- Leadership.

9. Resolution of Disputes with Council of Governors

Should a dispute arise between the Board of Directors and the Council of Governors, then the disputes resolution procedure set out in Annex 6 Paragraph 10.

10. Notification to Council of Governors

The Board of Directors shall notify the Council of Governors of any major changes in the circumstances of the trust, which have made or could lead to a substantial change to its financial well-being, healthcare delivery performance, or reputation and standing or which might otherwise affect the trust's compliance with the terms of its Constitution or the 2006 or 2022 Act.

11. Board of Directors' Performance

The Chair shall, at least annually, lead a performance assessment process for the Board of Directors. This process should act as the basis for determining individual and collective professional development programmes for Directors.

ANNEX 8 – FURTHER PROVISIONS - MEMBERS

(Paragraph 10.4 and 11.2)

1. DISQUALIFICATION FROM MEMBERSHIP

- 1.1 An individual may not become a member of the trust if:
- 1.1.1 they are under 16 years of age;
 - 1.1.2 within the last five years they have been involved as a perpetrator in a serious incident of violence at any of the trust's hospitals or facilities or against any of the trust's employees or other persons who exercise functions for the purposes of the trust, or against any registered volunteer.

2. TERMINATION OF MEMBERSHIP

- 2.1 A member shall cease to be a member if:
- 2.1.1 they resign by notice to the Secretary;
 - 2.1.2 they die;
 - 2.1.3 they are expelled from membership under this Constitution;
 - 2.1.4 they cease to be entitled under this Constitution to be a member of the Public Constituency or of any of the classes of the Staff Constituency; or
 - 2.1.5 it appears to the Secretary that they no longer wish to be a member of the trust, and after enquiries made in accordance with a process approved by the Council of Governors, they fail to demonstrate that they wish to continue to be a member of the trust.
- 2.2 A member may be expelled by a resolution approved by not less than three quarters of the Governors present and voting at a General Meeting. The following procedure is to be adopted.
- 2.2.1 Any member may complain to the Secretary that another member has acted in a way detrimental to the interests of the trust.
 - 2.2.2 If a complaint is made, the Council of Governors may itself consider the complaint having taken such steps

as it considers appropriate to ensure that each member's point of view is heard and may either:

- 2.2.2.1 dismiss the complaint and take no further action; or
- 2.2.2.2 for a period not exceeding twelve months suspend the rights of the member complained of to attend members meetings and vote under this Constitution; or
- 2.2.2.3 arrange for a resolution to expel the member complained of to be considered at the next General Meeting of the Council of Governors.

2.2.3 If a resolution to expel a member is to be considered at a General Meeting of the Council of Governors, details of the complaint must be sent to the member complained of not less than one calendar month before the meeting with an invitation to answer the complaint and attend the meeting.

2.2.4 At the meeting, the Council of Governors will consider evidence in support of the complaint and such evidence as the member complained of may wish to place before them.

2.2.5 If the member complained of fails to attend the meeting without due cause, the meeting may proceed in their absence.

2.3 A person expelled from membership will cease to be a member upon the declaration by the Chair of the meeting that the resolution to expel them is carried.

2.4 No person who has been expelled from membership is to be re-admitted except by a resolution carried by the votes of three quarters of the Council of Governors present and voting at a General Meeting.

3. MEMBERS' MEETINGS

- 3.1 The Trust is to hold a members' meeting (called the Annual Members' meeting) within nine months of the end of each financial year.
- 3.2 All members' meetings other than annual meetings are called special members meetings.
- 3.3 Members' meetings are open to all members of the trust, Governors and Directors, representatives of the auditor and to members of the public. The Board of Directors may invite any experts or advisors whose attendance they consider to be in the best interests of the trust to attend a members meeting.
- 3.4 All members' meetings are to be convened by the Secretary by order of the Board of Directors.
- 3.5 The Board of Directors may decide where a members meeting is to be held and may also for the benefit of members:
- 3.5.1 arrange for the Annual Members' Meeting to be held in different venues each year:
- 3.5.2 make provisions for a members' meeting to be held at different venues.
- 3.6 At the Annual Members' Meeting:
- 3.6.1 the Board of Directors shall present to the members:
- 3.6.1.1 the annual report and accounts;
- 3.6.1.2 any report of the auditor;
- 3.6.1.3 any report of any other external auditor of the trust's affairs; and
- 3.6.1.4 forward planning information for the next Financial Year
- 3.6.2 the Council of Governors shall present to the members a report on:
- 3.6.2.1 steps taken to secure that (taken as a whole) the actual membership of the Public Constituency and of the classes of the Staff

- Constituency is representative of those eligible for such membership;
- 3.6.2.2 the progress of the membership strategy;
 - 3.6.2.3 and any changes made to it; and
 - 3.6.2.4 any proposed changes to the policy for the composition of the Council of Governors and of the Non-Executive Directors.
- 3.6.3 the results of the election and appointment of Governors and the appointment of Non-Executive Directors will be announced.
- 3.7 Notice of a members' meeting is to be given:
- 3.7.1 by notice to all members;
 - 3.7.2 by notice prominently displayed at the head office and at all of the trust's places of business; and
 - 3.7.3 by notice on the trust's website at least 14 clear days before the date of the meeting. The notice must:
 - 3.7.4 be given to the Council of Governors and the Board of Directors, and to the auditor;
 - 3.7.5 state whether the meeting is an annual or special members' meeting;
 - 3.7.6 give the time, date and place of the meeting; and
 - 3.7.7 indicate the business to be dealt with at the meeting.
- 3.8 Before a members meeting can do business, there must be a quorum present. Except where this Constitution says otherwise, a quorum is eleven members present including at least one Governor.
- 3.9 The trust may make arrangements for members to vote by post or electronic communications.
- 3.10 It is the responsibility of the Board of Directors, the Chair of the meeting and the Secretary to ensure that at any members meeting:
- 3.10.1 the issues to be decided are clearly explained;

3.10.2 sufficient information is provided to members to enable rational discussion to take place.

- 3.11 The Chair of the trust, or in their absence the Deputy Chair of the Board of Directors, shall act as Chair at all members meetings of the trust. If neither the Chair nor the Deputy Chair of the Board of Directors is present, the members of the Council of Governors present shall elect one of their number to be Chair and if there is only one Governor present and willing to act, they shall be Chair.
- 3.12 If a quorum is not present within half an hour of the time fixed for the start of the adjourned meeting, the number of members present during the meeting is to be a quorum.
- 3.13 A resolution put to the vote at a members meeting shall be decided upon by a show of hands unless a poll is requested by the Chair of the meeting.
- 3.14 Every member present and every member who has voted by post or using electronic communications is to have one vote. In the case of an equality of votes, the Chair of the meeting is to have a second and casting vote.
- 3.15 The result of any vote will be declared by the Chair and entered in the minute book. The minute book will be conclusive evidence of the result of the vote.

4. REPRESENTATIVE MEMBERSHIP

- 4.1 The trust shall at all times strive to ensure that, taken as a whole, its actual membership is representative of those eligible for membership. To this end:
- 4.1.1 the trust shall at all times have in place and pursue a membership strategy which shall be approved by the Council of Governors, and shall be reviewed by them from time to time, and at least every two years,